The 19th Century Song Cycle and the European Classical Guitar

Arranging Robert Schumann's *Dichterliebe* for Guitar and Tenor

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Contents

Introduction

      The purpose of my project is to arrange German composer Robert Schumann's song cycle *Dichterliebe* (A Poet's Love, 1840)*,* a work consisting of 16 songs originally composed for solo voice and piano and set to texts by Heinrich Heine (1797-1856), for the classical guitar. The final transcription will culminate in a version for solo guitar accompaniment and tenor or soprano voice. Today, the concert guitarist's repertoire consists mainly of substantial works by modern-day and 20th century composers, and/or arrangements of works originally written for other instruments. My project will expand the classical guitar repertoire by rendering a celebrated song cycle from the 19th century idiomatic to the guitar. Through analysis, arrangement, performance, publication, and recording of *Dichterliebe* on the guitar, I will advocate for increased awareness and appreciation of the classical guitar's versatility in the 21st century.

Historical Background

      A portable folk instrument largely ignored by major 19th-century composers due to its association with the lower classes, the European classical guitar's reputation and repertoire have shifted considerably over the last 250 years. From humble beginnings in the 18th century when the instrument was commonly employed in rural contexts it spread to the Viennese middle-class home and salon in the 19th century.[1] In terms of repertoire, guitar scholars and performers Marlon Titre, Harvey Turnbull, and Graham Wade have shown that compared to music for other instruments (voice, piano, violin), large works for guitar from the early 19th century tend to be

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[1]   James Tyler and Paul Sparks, The Guitar and Its Music: From the Renaissance to the Classical Era (Oxford: Oxford University Press, 2009), 193.

"cliché-ridden", characterized by "tedious sameness," and lacking "real expression."[2] Composer Hector Berlioz remarked in 1844 that "it is almost impossible to write well for the guitar without being a player on the instrument," lending credence to the fact that the best pieces were written by virtuosos for their own performances.[3] The situation was exacerbated by a "widespread disdain" for the guitar among the cultural elite.[4] Few high-quality concert works for guitar from this era have survived and virtually none were written by non-guitarists. This project will address this problem through the guitar arrangement of a widely accepted canonical masterpiece of the 19th century.

Arranging for the Guitar

In the program notes to his album *Nuages*, renowned guitarist Roland Dyens addresses what should be considered when arranging music for the guitar,

> "the challenge of the arrangement for the guitar is the restitution of the work's original essence across the space, forcibly restrained, of the six strings of the instrument. It is also a perpetual confrontation with the technical limits of the guitar. That requires on the part of the artisan a fine geographical acquaintance with the instrument, a solid harmonic foundation, and above all, the concern for being in permanent contact with the spirit of the work. The arranger metamorphoses the limits and weaknesses encountered into so many new qualities, he transforms, he enriches the work in a new light, sometimes unexpected. It is in this step that the art of arrangement reveals itself."[5]

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[2]   Harvey Turnbull, The Guitar: From the Renaissance to the Present Day (New York: Batsford, 1974), 88.

[3]   Marlon Titre, "Thinking Through the Guitar: The Sound-Cell-Texture Chain" (dissertation, 2013), 86.

[4]   Titre, "Thinking Through the Guitar"; Tyler and Sparks, "The Guitar and Its music."

[5]   Roland Dyens. "Liner notes." Liner notes for Reinhardt, Django. Nuages, Performed by Roland Dyens. GHA Records 126.043, 1999, streaming audio.

Dyens uses the terms "essence" or "spirit of the work" as central to the music arranging process. When translating from one instrument to another, the arranger must ensure that this "essence" is preserved and that the original intentions of the composer are respected. The "technical limits of the guitar" refer to the complexities of fretboard navigation, the biomechanical constraints of moving the hands and fingers in awkward configurations, the fact that there are only six strings, and that only one note can sound per string at a time. In a study conducted and published in the *Journal of Motor Behavior*, scholars Hank Heijink and Ruud Meulenbrook note that "complex passages frequently require the guitarist's hands to adopt extreme and awkward postures for very brief, strictly prescribed time intervals, which makes guitar playing both a spatially and temporally demanding task," and that it is "among the most demanding instruments in that respect."[6] Moreover, Dyens notes that the guitarist/arranger is like an "artisan," and that a "solid harmonic foundation" and "fine geographical acquaintance" with the guitar are paramount. Like other string instruments with a fingerboard, most available notes of the guitar can be played on different strings and in different positions. This aspect is particularly important in producing musical polyphony and multi-voice textures; it offers flexibility in the way groups of notes can be played and connected to other groups of notes. Only <u>one</u> of the guitarist's hands (the right or plucking hand) is responsible for most of the instrument's sound production, and both the left and right hands of the guitarist must be coordinated to produce the sound of one fretted note. A fretting movement on the guitar requires pushing down or depressing the string with a left-hand finger (or right hand in the case of left-handed players) to change a note on the guitar fretboard. In this context, the art of arranging from piano to guitar involves strategic omissions; an eight-

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[6]   Hank Heijink and Ruud G. Meulenbroek, "On the Complexity of Classical Guitar Playing: Functional Adaptations to Task Constraints," *Journal of Motor Behavior* 34, no. 4 (2002): 339.

note chord in a piano score cannot be translated verbatim to the guitar, there simply aren't enough strings to reproduce the number of notes required. In arranging a piano score for the guitar, one is often tasked with deleting certain elements from the score and searching out new equivalences on the guitar fretboard while considering what fits comfortably under the hands. The "artisan" must thus use fretboard knowledge ("geographical acquaintance") to make choices about what is necessary to maintain the composer's original intentions ("essence" or "spirit") so that the work is both recognizable on the new instrument and ultimately playable.

In the following, I explain the process of making an arrangement of *Dichterliebe* for guitar and voice. Following the principles mentioned by Dyens above, I aim to transfer the original piano accompaniment to classical guitar in ways that are idiomatic to the instrument and that capture the "spirit" of this Romantic work. To translate the "essence" of *Dichterliebe¸* I will situate it within a historical context and scrutinize the knowledge that is embedded in the original score. By documenting the process, I will contribute to the advancement of knowledge on *Dichterliebe* and arranging for the guitar.

Contribution to the Advancement of Knowledge

Schumann's *Dichterliebe* has been studied extensively by scholars and performers alike. I believe that my contribution to the advancement of knowledge can fit into the framework of artistic research, more specifically practice-based research. Linda Candy and Ernest Edmonds note that "research may be a purely theoretical activity or it may use artefacts as the object of study or as experimental apparatus."[7] As they attest, "if a creative artefact is the *basis* of the

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[7]   Linda Candy and Ernest Edmonds, "The Role of the Artefact and Frameworks for Practice-Based Research", in The Routledge Companion to Research in the Arts, ed. Michael

contribution to new knowledge, the research is practice-based."[8] Within the realm of music, the term "artefact" can refer to several things, including but not limited to a musical score, a performance, an edition, or a recording. "Artefacts" such as an arrangement are also the creative outcomes of practice-based research.

One limitation of my practice-based research method is that this project relies heavily on "tacit" or "embodied" knowledge. Much of my knowledge of the guitar is tacit, as it has been acquired from personal experience and experimentation over the course of decades. Tacit or embodied knowledge by its very nature struggles to be codified since it is experiential. As Kathleen Coessens, Darla Crispin, and Anne Douglas note, "to give verbal articulation to tacit knowledge is to make it no longer tacit…what we put into words will always be less than what we are trying to describe."[9] However, within the context of this project it is necessary to contribute to a shared advancement of knowledge. In this project, I am using methods of artistic research to "reveal and articulate the tacit knowledge that is situated and embodied in specific artworks and artistic processes."[10] This paper, the score of my arrangement, and my final lecture-recital performance represent a methodical, multi-faceted approach that I am utilizing to articulate my tacit knowledge of the guitar so that it can be shared.

In the advancement of cultural knowledge through the artistic process, one must also consider the complexity of that knowledge and how it is to be shared. I believe that arranging

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Biggs, Henrik Karlsson and Stiftelsen Riksbankens Jubileumsfond (Abingdon: Routledge, 2010), 124.

[8] Linda Candy, "Practice Based Research: A Guide - Creativity and Cognition," Creativity and Cognition, accessed October 12, 2022, https://www.creativityandcognition.com/wp-content/uploads/2011/04/PBR-Guide-1.1-2006.pdf, 3.

[9] Kathleen Coessens and Darla Crispin and Anne Douglas, *The Artistic Turn: A Manifesto*. (Leuven: Leuven University Press, 2009), 7.

[10] Henk Borgdorff, "The Production of Knowledge in Artistic Research," in The Routledge Companion to Research in the Arts, ed. Michael Biggs and Henrik Karlsson (London: Routledge, 2014), 63.

Dichterliebe for the solo classical guitar is relevant in the 21st-century because it adds to the "epistemic complexity" of the work. The term "epistemic complexity" has been used in other disciplines to describe "the richness of the knowledge that is embedded in an artefact,"[11] as well as its "cultural evolution…[giving] the evolution its direction."[12] Suffice it to say that a musical score does not appear in a vacuum; scores are artefacts that are the product of creative impulse, written at a specific time and culture, and are literal embodiments of knowledge. *Dichterliebe* was written in 1840 in pre-unification Germany by a nationalist composer that was intimately aware of Germany's political climate (further discussion in chapter 1). For this reason, I have decided to conduct two literature reviews, one on song cycle history in the years leading up to the composition of *Dichterliebe,* and another of the text/music relationships in the cycle. This crucial background information and study of the "epistemic complexity" of *Dichterliebe* will help uncover the "essence" and "spirit" of the work. Orpheus Institute Research Fellow Paulo de Assis has extrapolated the term "epistemic complexity" into the field of music and has aptly noted that "musical works are highly elaborated, complex semiotic artefacts with intricate operational functions…they are also the products of invention and embed a rich array of interconnected knowledge encapsulating one or more operational principles."[13] The knowledge of which de Assis speaks is *not* frozen in the past but rather can be examined in the present to create new futures, opening infinite possibilities for "new assemblages."

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[11] Paulo de Assis, "Epistemic Complexity and Experimental Systems in Music Performance," Artistic Experimentation in Music, July 2014, pp. 41-54, 152.
[12] De Assis, "Epistemic Complexity," 153.
[13] De Assis, "Epistemic Complexity," 155.

Experimentation allows "researcher-performers [to] re-imagine canonical works as potential sources of new knowledge, rather than as fixed entities that must be reproduced."[14] My arrangement of *Dichterliebe* adds to a very large and intricate web of knowledge that already exists on the piece, including the notes and text in the score, composer sketches and drafts, editions, recordings, musicological and philosophical discussion, and all other relevant material related to the work. The knowledge embedded in Schumann's score gives clues about its past and cultural evolution, but it also allows for questions and examination into how to make that knowledge useful in the present and future. The concept of exploring a work's "epistemic complexity" within the musical score is at the crux of de Assis' framework. By arranging *Dichterliebe* within the confines of the guitar's limitations and using its past to create a new edition and performance of the work, I am contributing to the "epistemic complexity" of the piece, and my arrangement can be further scrutinized for future study.

Theoretical Framework

This project falls under the umbrella of artistic research and is defined as practice-based research. In practice-based research, a "creative artefact is the *basis* of the contribution to knowledge,"[15] in this case the musical score of Schumann's song cycle *Dichterliebe.*

Artistic research and artistic practice are not the same thing. As researcher Godfried Willem-Raes has noted, research requires that a question or problem exists and that an effort must be made on the part of the researcher to examine the problem, so that the results "make a

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[14]   Darla Crispin and Bob Gilmore, eds., *Artistic Experimentation in Music: An Anthology* (Leuven: Leuven University Press, 2014), 18.
[15]   Candy, "Practice Based Research," 3.

verifiable difference," and the problem itself has a "demonstrable significance."[16] Artistic

practice, or the act of making art or doing art-related activities, is only one parameter of artistic

research. Artistic research requires a constant self-awareness of the artistic process and reflection

on that process. Artistic research takes place from the "inside-in,"[17] as the researcher is also the

practitioner and a participant in the artistic acts. This dual role of researcher/practitioner leads to

a constant shift of perspectives; as the researcher engages in the artistic process from an insider

perspective, he/she must also distance him/herself from the process of making art to reflect on

what has been done and to document or articulate the process in some way. This requires a

necessity on behalf of the researcher to leave the process "open-ended," or to borrow a term

often employed in theological study, to employ a "hermeneutical spiral" or "circle."[18] This

constant flux of shifting insider/outsider perspectives on the artistic process leads to new

questions that can only be uncovered by the researcher because of their embeddedness in the

artistic activity.

This "open-ended" approach that I have used throughout the process of arranging

Dichterliebe is commonly seen in artistic research. Finnish researchers Mika Hannula, Juha

Suoranta, and Tere Vaden note that the concept of "methodological abundance" is central to the

fabric of artistic research (also referred to as "methodological diversity or pluralism.")[19] Starting

from some central axis or context, the 21st century artistic researcher/practitioner is encouraged

to utilize an abundance of methodologies to guide decision-making. As a practitioner embedded

in the act of arranging a musical score for guitar, I was tasked with developing a unique

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[16]   Godfried-Willem Raes, "Experimental Art as Research," Artistic Experimentation in Music, 2014, 56.

[17]   Mika Hannula and Juha Suoranta and Vadén Tere, *Artistic Research Methodology: Narrative, Power and the Public* (New York, NY: Lang, 2014), 14.

[18]   Hannula, Suoranta, and Tere, "Artistic Research Methodology," 21.

[19]   Hannula, Suoranta, and Tere, "Artistic Research Methodology," 22.

methodology that served to answer the problem at hand: could I produce a version of *Dichterliebe* for the guitar that was instantly recognizable to anyone that knew the version for piano? Was there a way to make this arrangement idiomatic and playable on the guitar without sacrificing the "essence" or "spirit" of the work? Could I keep the piece in all the original keys? In which ways would I document the process so that I could share this knowledge with others? These questions guided me in exploring various methodologies used in the field, some of which were extracted from the literature on artistic research and employed in my core methodology described below.

Methodology

The methodology of this project is qualitative and reflexive. John Creswell and Cheryl Poth note that qualitative research is "shaped by the researcher's experience in collecting and analyzing the data,"[20] that they take place in "natural settings," that the researcher is a "key instrument" and that the reasoning is done through "inductive logic."[21] My research project is qualitative because the entire process was contingent on my experience of the activities; at times, jumping back and forth between insider and outsider perspectives led me to change my research questions, which in turn forced me to change the method of collecting and analyzing the data from my arrangement. As noted earlier, my observations were made through "open-ended" questions. These questions "shaped" the criteria and themes that ultimately emerged from my arranging journal (further discussion in Chapter 3). The criteria that I elaborate in Chapter 3 were reasoned out through "inductive logic," meaning specific observations were made and patterns

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[20]   John W. Creswell and Cheryl N. Poth, *Qualitative Inquiry & Research Design: Choosing Among Five Approaches* (SAGE Publication Inc., 2018), 21.
[21]   Creswell and Poth, "Qualitative Inquiry," 43.

were recognized and subsequently organized into themes. These observations were not made in a contrived environment, like a laboratory, but took place in "natural settings," such as the practice studio, during score engraving, or when comparatively analyzing drafts of the arrangements. The research is "reflexive" because I am conscious of the bias that I bring to the project. More specifically, I use my experience and tacit knowledge to "shape the interpretation."[22]

The first stage of my methodology included a comprehensive literature review of song cycle history to situate *Dichterliebe* and Schumann's treatment of text-music relationships within the broader context of 19th century lieder cycles (Chapter 1). The second phase of my methodology involved a survey of the text, followed by coding and categorization of poetic phrasing and meter ("data gathering"[23]). This stage employed methods of Lied analysis proposed by Christoph Wolff (1982), which involves examination of the text and text-music relationships, presented in Chapter 2. Moreover, I explored linguistic and musical structure, including convergence and divergence from the intended meaning of the poetry ("polyrhythm" or "polyrhythmic lied"[24]) as elaborated in a study by Don Michael Randel.

In the third phase, notes were taken in an arranging journal from December 2020-November 2022 and comparatively analyzed through practical experimentation on the guitar. The memos served to develop common themes and criteria for arranging from piano to guitar in the context of this specific song cycle. Drafts of each song were saved and labelled following periods of practical experimentation on the instrument or lessons with my supervisors Jérôme Ducharme or Michael McMahon. Upon notating in Finale, I would extract elements from the music to experiment with on the instrument, melodies or melodic fragments, chords, polyphonic

22   Creswell and Poth, "Qualitative Inquiry," 327.
23   Hannula, Suoranta, and Tere, "Artistic Research Methodology," 23.
24   Jon W. Finson, *Robert Schumann: The Book of Songs* (Cambridge, MA: Harvard University Press, 2008).

counterpoint, pitch range or tessitura, and fully realized harmonies. When changes to my original transcriptions and ideas occurred, notes were taken. The criteria and themes that surfaced from my practice diary are an example of the holistic approach of the hermeneutic spiral, "it is not possible to understand a part of the experience without understanding the whole, and vice versa."[25] Those results are presented in Chapter 3. Physical and bio-mechanical constraints were considered.

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[25] Hannula, Suoranta, and Tere, "Artistic Research Methodology," 21.

Chapter 1

The following two chapters of this document are dedicated to a literature review, providing background information and important interpretive insights into the history of *Dichterliebe.* We will explore the eminence of folk music in pre-unification Germany, 19th century Viennese salon culture, innovations of the song cycle genre, and text/music relationships in *Dichterliebe*. These readings will help contextualize the project at hand and to uncover the "essence" of Schumann's song cycle, as they are examples of knowledge that are embedded in an artefact. The artefact is not just the musical score, but includes all philosophical writings as well, forming branches of a work's "epistemic complexity." By using that knowledge to create something novel (such as an arrangement), new branches emerge that can be studied in the future.

The History of the Song Cycle from 1750-1840

The history of the song cycle is intrinsically tied to the confluence of German Nationalism, the Industrial Revolution, and salon culture. A wealth of compositions combining the literary and musical arts emerged from continental Europe to manifest in the art of folksong, which were eventually gathered into collections and cycles with either loosely- or closely-knit thematic, narrative, and tonal structures. The first part of chapter 1 will discuss the influences that affected the composers and musical compositions of the era, beginning in the last quarter of the 18th century and culminating in the mid-19th century.

German Nationalism

      18th century Europe was a nexus of philosophical writings in virtually every discipline. Towards the end of the century there was a strong desire among the fragmented states of Germany to establish a unified national identity. Music and language were considered important unifying political forces by the pre-Romantic philosopher Johann Gottfried Herder.[26] Herder asserted that "folk song forged a common space between *Volk* [the people] and *Nation* [nation]."[27]

      Herder's life's work culminated in an anthology of folksong, entitled the *Alte Volkslieder.* This collection of essays and volumes of folksong would play a central role in what would ultimately become the earliest settings of lieder. A grand admirer of the English Shakespeare (he devoted an entire volume of essays to the English poet), Herder noted similarities between the history of the English and German language but contrasted the lack of unified cultural identity in German-speaking peoples compared to the English.[28] In the opening of the *Alte Volkslieder* for example, Herder expresses frustration that German grammar had changed so much over the centuries that much of the language was virtually unrecognizable.[29]

      The Enlightenment featured the genesis of the *Encyclopédie* (Denis Diderot), and thus there was historical precedent for organizing "linguistic and historical artifacts as an anthology."[30] By drawing on the "treasure trove of language, delightful customs, morals, and light shed on the fatherland" found in manuscripts of historical artifacts such as the Codex

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[26]   Johann G. Herder. *Song Loves the Masses: Herder on Music and Nationalism,* edited by Philip V Bohlman. (Oakland, California: University of California Press, 2017), 25.
[27]   Herder, *Song Loves the Masses,* 25.
[28]   Herder, *Song Loves the Masses* 23.
[29]   Herder, *Song Loves the Masses,* 27.
[30]   Herder, *Song Loves the Masses,* 23.

Manesse,[31] and combining them with other sources from the lands of Bavaria, Saxony, Swabia, and other German-speaking states, Herder set a historical precedent in gathering the German language into a shared repertory.

Why is all this important? Because lieder _is_ folksong. Without the figure of Herder, the Germans may never have had the impetus to connect music and poetry in the way that they did. For the purposes of arranging and ultimately performing *Dichterliebe*, it is necessary to understand and appreciate the eminence of the written word in lieder. This contextualization will further serve us in examining Schumann's sophisticated albeit subtle ways of manipulating text/music relationships to create meaning in his music, the "spirit" of *Dichterliebe*. In the world of instrumental music, we are familiar with the accomplishments of Carl Maria von Weber, Franz Schubert, and Robert Schumann throughout the early Romantic period, but from the point of view of folksong, we must consider the figures of Goethe, Müller, Eichendorff, and Heine with equal alacrity. Let us now temporarily change our focus from the world of the written word to another major historical event in continental Europe, the Industrial Revolution.

Industrial Revolution

While Herder was hard at work on his monumental folksong anthology, another complex movement of cultural shift was well underway: post-Enlightenment Europe gave way to the Industrial Revolution. The Industrial Revolution saw massive migration from rural areas to cities and the rise of the middle classes. Thus began a major shift in the domain of music as patrons of the arts were no longer solely members of the aristocracy. The members of the middle class began to sponsor composers. The bourgeoisie had money and could afford to buy pianos and

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[31]   Herder, *Song Loves the Masses,* 27.

host concerts in their homes, which gave rise to what musicologist Ruth Bingham describes as an almost "insatiable market for songs."[32]

The Industrial Revolution resulted in social shifts and social classes. The elite were no longer exclusively members of aristocratic homes but came from the upper middle and middle classes, which included the intelligentsia and literati of the time. These elite members of society gathered in salons and discussed the poetry and philosophies of the Weimar Classicists.[33] The Weimar Classicists included the notable figure of Herder discussed above, but other prominent philosopher poets such as Goethe and Schiller. As Jennifer Ronyak points out, "Salon hostesses and salon-goers also read intimate poetry aloud for the group and sometimes sang such poems in the form of lieder."[34]

The principles of privacy, "inner-self", and autonomy were central to the philosophy of Goethe and Schiller and expounded in their writings.[35] This idea of "inner-self" is central to capturing the "spirit" and "essence" of 19th century song cycles like *Dichterliebe*. Friedrich Schleiermacher and Friedrich Shlegel extended the idea of protecting the "inner-self" within the context of sociability, how to conduct oneself in society, and the "ideal *Gesellschaft* (society embodied by the salon)."[36] As the readings of these important philosophers were propagated throughout salon culture, so too were the ideas passed among the cultural elite, making way for a shift in aesthetics in the arts. German Romanticism and Classicism coexisted in this period, but

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[32] Ruth O. Bingham. "The Early Nineteenth-Century Song Cycle." In *The Cambridge Companion to the Lied*, edited by James Parsons, 101-19. (Cambridge Companions to Music. Cambridge: Cambridge University Press, 2004), 101.

[33] Jennifer Ronyak. *Intimacy, Performance, and the Lied in the Early Nineteenth Century.* (Bloomington, Indiana: Indiana University Press, 2018), 21.

[34] Ronyak, *Intimacy, Performance, and the Lied, 21.*

[35] Ronyak, *Intimacy, Performance, and the Lied, 24.*

[36] Ronyak, *Intimacy, Performance, and the Lied, 31.*

the structural rigidity of the traits most often observed in Classical music began to give way to the open-ended forms of Romanticism.[37] It was in this context that song cycles were born.

The Song Cycle

The earliest song cycles, those instances spurred on by the folksong anthology of Herder, would make their appearance in the late eighteenth-century (ca. 1790) and would continue to mature for the next half-century. The congruence of "folk" and "nation" described earlier was of particular importance to the early lied; there was preference for folkish meter, strophic settings, and above all, the primacy of the written word. Accompaniments were simple and served only to heighten the meaning of the text, never to detract, distract, or diverge from the prosodic logic of poetry. Bingham further elaborates that "cycles composed in the Lied tradition almost exclusively were poetic cycles accompanied by music, and the simplicity of their keyboard accompaniments reflected music's subsidiary role."[38]

Composers were no longer subservient to aristocratic patronage and could profit from sales and royalties of their published scores to a mass-market audience. The major socio-economic influence of capitalism and subsequent "commodification" of musical scores meant that composers and publishers were now in a "competitive marketplace."[39] The concept of marketing one's products and creating a brand for profit resulted in the publication of song cycles as collections, and new terminology to describe them. Composers were arguably less preoccupied with the creation of a new genre than in making money for the betterment of their livelihoods. It was in this context that terms such as *Liederkreis* (syllabic *Lieder-kreis* or English

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[37]   Bingham, *Nineteenth-Century Song Cycle*, 102.
[38]   Bingham, *Nineteenth-Century Song Cycle*, 102.
[39]   Laura Tunbridge. *The Song Cycle*. Cambridge Introductions to Music. (Cambridge: Cambridge University Press, 2010): 7.

song-circle/cycle) and other corresponding suffixes, *-reihe, -zyklus,* and *-kranz,* emerged.[40] These terms were used to help composers sell their music as recognizable products in pre-unification Germany's salon culture.

As the aesthetics of Romanticism began to hold increasing sway in German society, there was another shift in the hierarchy of words and music in lieder. Instrumental music had the ability to describe the inexpressible through the "art of tones," slowly subverting the primacy of the spoken word in Romanticism because it could convey the abstract and mystical nature of the world with "power beyond language's grasp."[41] In song cycles with piano accompaniment, the "inexpressible" was increasingly captured by the instrumental part. To maintain the "spirit" of *Dichterliebe* in my arrangement, I needed to convey these "inexpressible" qualities on the guitar. Piano accompaniments began to increase in complexity and achieve a kind of parity with the words to which they were set. Strophic forms, though continuing to evoke the folk-ideal or folksiness (*Volkstümlichkeit*) of German culture, were joined by through-composed settings.

Though there is a remarkable amount of evidence to the contrary, Beethoven's *An die ferne Geliebte* of 1816 was hailed as the first song cycle. Librarian and music historian Arrey von Dommer is responsible for the first known definition of the song cycle (ca. 1860): *"Liederkreis, Liedercyclus.* A coherent complex of various lyric poems. Each is closed in itself, and can be outwardly distinguished from the others in terms of prosody, but all have an inner relationship to one another, because one and the same basic idea runs through all of them."[42] This oft-cited definition certainly reinforces the notion that *An die ferne Geliebte* would at least serve as the basis for further artistic invention in the genre, with its tonal coherence, piano

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40   Tunbridge, *The Song Cycle,* 7.
41   Tunbridge, *The Song Cycle,* 6.
42   Tunbridge, *The Song Cycle,* 6.

transitions between songs, and consistently strophic text-settings. However, a more nuanced

understanding of song cycle history leads one to the conclusion that Beethoven's *An die ferne*

Geliebte was in fact an anomaly in formal construction and more Classical in structure. David

Ferris explains this in his book on Schumann's *Eichendorff Liederkreis, op. 39.* In it, Ferris

elaborates on the Romantic "fragment" and the open-ended nature of Romantic music versus the

"closed" rigidity of the Classical style. He discusses the tonal coherence of Classical song cycles

in contrast to the fragmentary and open-ended nature of Romantic cycles, contrasting

Beethoven's *An die ferne Geliebte* with examples by Schumann.[43] Moreover, there was a 19th

century campaign in Germany to celebrate Beethoven as the preeminent Romantic genius.[44]

Lending the composer's name to a relatively new genre towards the middle of the century would

increase its reputation and potentially its staying (and selling) power. Laura Tunbridge shows

that by the time of *An die ferne Geliebte,* "strophic forms were no longer *de*

rigueur…instrumental interludes between songs were unusual and vocal writing on the whole

had become less folk-like."[45] In her chronology of song cycles, she also lists two works by Carl

Maria von Weber, *Leyer und Schwerdt op. 41* (1814) and *Die vier Temperamente bei dem*

Verluste der Geliebten op. 46 (1816) as pre-dating *An die ferne Geliebte.*[46]

Musically-Constructed Cycles

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[43]   David Ferris, *Schumann's Eichendorff Liederkreis and the Genre of the Romantic Cycle*. (Oxford: Oxford University Press, 2000).

[44]   Bingham, *Nineteenth-Century Song Cycle*, 104.

[45]   Tunbridge, *The Song Cycle,* 7.

[46]   Tunbridge, *The Song Cycle,* xvii.

Weber and Beethoven's utterances in the genre were foundational, but it was the increasing role of instrumental accompaniment in cycles of Schubert and Schumann that left their mark on its evolution. The increasing tendency of Romantic expression, the abstract quality that instruments had in expressing the ineffable that the voice could not, was taking over. Jon Finson describes the concept of the "polyrhythmic lied" as a song "in which the sound and sense of the verse, of the melody and of the accompaniment run sometimes congruently, sometimes separately but in parallel, sometimes divergently."[47] This definition is at the center of the musically-constructed cycles from the 1820s to Schumann's *Liederjahr* of 1840, and will be our focus in chapter 2 of this paper.

The novelty of Schubert and Schumann's approach was not so much in their composition of preludes, interludes, or postludes, or the use of the piano to represent poetic *topos* or *topoi*, but rather the degree that they manipulated the interaction between text and music to convey multiple layers of meaning ("polyrhythmic lied"). Not only are text settings more often through-composed at this point in the cycle's history, but the piano part and key relationships more loosely cohere to narrative structure as compared to *An die ferne Geliebte* from the previous decade. Consider for instance the pairing of *Die liebe Farbe* and *Die böse Farbe* (the "loving" and "hateful" colours respectfully) from Schubert's *Die schöne Müllerin* of 1823. The former is in B-minor while the second in mostly in B-major. Both songs represent the colour green, but Schubert creates a reverse association of the typical melancholic affect of minor and the brighter affect of major; the boy from *Die schöne Müllerin* is "disappointed" in *Die böse Farbe*, and this sting is reflected bitterly with a "brittle" major key.[48]

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47   Finson, *The Book of Songs*, 7.
48   Tunbridge, *The Song Cycle,* 26.

Schumann takes the "polyrhythmic lied" even farther in *Dichterliebe.* He subverts our "quadratic expectations" of folkish verse by setting a line of iambic pentameter (lines of five stressed syllables) in *Ich grolle nicht* to regular four-bar phrases in the piano.[49] The piano relentlessly insists on the progression of the narrative without looking back, moving towards disappointment and reproach of the beloved that is expressed in the second stanza, when the poetry states that the beloved's heart is being gnawed by a serpent ("Und sah die Schlang', die dir am Herzen frisst"). The voice part disagrees however, and through fragmentation and repetition continues to express forgiveness.[50]

We know that Schubert excerpted songs from his cycles and transcribed them into different keys to suit the needs of his singers,[51] and that Schumann agreed with this approach (his writings describe this practice in the *Neue Zeitschrift für Musik*).[52] By 1824 (around the time of Schubert's *Die schöne Müllerin*), tonal coherence became less rigid in comparison to the decade earlier as Romantic aesthetics began to hold sway. However, as recently as twenty years ago there was a debate on the aesthetics of Romantic song cycles like *Dichterliebe* – on one side of the polemic musicologists such as David Ferris argued that because of the open-ended fragmentary nature of the work, there was no overt tonal coherence in *Dichterliebe.* His writings were challenged less than a decade later by musicologist Berthold Hoeckner, who demonstrated an underlying tonal plan connecting all sixteen songs of *Dichterliebe,* albeit looser than the key

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[49]   Finson, *The Book of Songs*, 65.
[50]   Jürgen Thym, "Schumann: Reconfiguring the Lied," in *The Cambridge Companion to the Lied*, ed. James Parsons, 120-41. (Cambridge: Cambridge University Press, 2004), 136.
[51]   Tunbridge, *The Song Cycle,* 26.
[52]   Rita Steblin, *A History Key Characteristics in the Eighteenth and Early Nineteenth Centuries* (Rochester: University of Rochester Press, 2002).

relationships between songs in *An die ferne Geliebte*.[53] In 2017, scholar Andrew Weaver noted that both readings of the Romantic fragment and the coherent whole had their merits, and argued that *Dichterliebe* fulfilled both those aesthetic categories from the perspective of narratology. As can be seen, the field of song cycle scholarship and Romantic aesthetics from the first half of the 19th century remains a studied topic today.

Summary

The confluence of major historical events and social-cultural factors generated a rich climate of artistic activity at a major turning point in the history of continental Europe. Herder's folksong anthologies helped foster a national identity by combining language and a shared repertory. The rising middle classes of the Industrial Revolution and the bourgeosie gathered in salons across German-speaking states and discussed the literary works of Goethe and Schiller. Settings of poetry and lieder were performed in these salons. Composers made a living from selling scores within a changing socio-economic sphere, and publishers sold lieder in collections and cycles. The first song cycles were built on cyclical themes and centered around the poetry. As the *Liederkreis* genre evolved, so too did the complexity of the narratives. Strophic forms gave way to through-composed settings and piano accompaniments, once simply used to enhance the poetry, was now on an equal footing with the text. The maturation of the *Liederkreis* genre discussed in this chapter ends with the figure of Robert Schumann and his *Liederjahr* of 1840, when text-music relationships reached a new pinnacle of sophistication. The issues of the song cycle and its development would leave a lasting mark on the Romantic period that still reverberates today.

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[53]   Berthold Hoeckner, "Schumann and Romantic Distance." *Journal of the American Musicological Society* 50, no. 1 (1997): 73.

Chapter 2

Jon Finson's "Polyrhythmic" Lied and Schumann's *Dichterliebe*

The "polyrhythmic lied" is a framework for analyzing song cycle practice towards the middle of the 19th century. It describes increasingly sophisticated text-music relationships and can be seen in the lieder developments of German composers Franz Schubert and Robert Schumann. This chapter will examine certain text-music relationships in the song cycle *Dichterliebe,* reflecting on the poetry of Heinrich Heine and the way the folkish verse interacts with the musical settings designed by Schumann. The study of text-music relationships will allow me to uncover layers of meaning embedded in *Dichterliebe* that are not obvious through a simple reading of the notes in the score. These layers of meaning are essential to understanding the "spirit" and "essence" of the work, which will ultimately be reflected in my arrangement and performance of *Dichterliebe*.

The Polyrhythmic Lied

The term "polyrhythmic lied" can be problematic because of the association musicians automatically make with the technical term *polyrhythm*, which denotes different rhythms sounding simultaneously. This is not the meaning of the term that Finson is using when describing the lieder of Robert Schumann. Finson's version of "polyrhythmic lied" is instead used to describe the layers of meaning in the text-music relationships of a lied, which come together to form a "higher artistic whole."[54] The term is in fact borrowed from German musicologist Walther Dürr and as David Ferris notes, was coined by Swiss critic and composer

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[54]   David Ferris, "Robert Schumann, Composer of Songs." *Music Analysis* 32, no. 2 (2013): 263.

Hans Georg Nägeli.[55] The prefix "poly-" is the key to understanding Finson's use of the word:

Schumann believed that the multiple layers of meaning were meant to be subtly embedded

between text and music so that the song would not only reflect the meaning of the verse but that

the composer should "seek to recreate the effect that reading a poem had on him or her."[56] At

times Schumann's musical setting will reinforce the meaning of the text while at others, it will

diverge from the text for artistic purposes.

The poetry employed in lieder settings is fundamental to understanding Schumann's use

of polyrhythm. *Dichterliebe* is a set of sixteen songs written by Schumann during his first year of

prolific song composition, the *Liederjahr* of 1840. The text that Schumann chose to set for

arguably his most famous cycle is taken from the *Lyrisches Intermezzo* from the *Buch der Lieder*

of Heinrich Heine, originally published in 1822-1823.[57] *Dichterliebe* op. 48 was the second of

two Heine cycles, following op. 24 earlier that year. Heine's characteristic ironic verse and the

narrative arc of the poetic groupings chosen by Schumann are necessary for our discussion of the

polyrhythmic lied.

As explained in *The Social Worlds of Nineteenth-Century Chamber Music Composers,*

Consumers, Communities, the rising middle classes of post-Enlightenment Germanic Europe

were a result of the spread of the Industrial Revolution and participated actively in social

chamber music gatherings known as *Hausmusik.*[58] Finson shows that above all, Schumann

believed the lied was intended for these *Hausmusik* or salon settings.[59] This context is important

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[55]   Ferris, "Robert Schumann, Composer of Songs," 263.
[56]   Finson, *The Book of Songs*, 6.
[57]   Robert Schumann. *Dichterliebe: An Authoritative Score, Historical Background, Essays in Analysis, Views and Comments,* ed. Arthur Komar. (New York, NY: W.W. Norton, 1971), 3.
[58]   Marie Sumner Lott. *The Social Worlds of Nineteenth-Century Chamber Music Composers, Consumers, Communities*. (Urbana: University of Illinois Press, 2015).
[59]   Finson, *Book of Songs,* 7.

because it demonstrates the public intended for his lieder. Middle-class amateurs of chamber

music were increasingly educated and may already have been aware of the poetic irony

embedded in Heine's verse. Finson notes that "for those unaware of this context however, the

composer could provide musical clues through the polyrhythm between text, melody, and

accompaniment, creating more irony in the process."[60]

Heine was well-versed in writing in the simple poetic structure of German folkish verse.

We often find within the poetry of Heine the quatrain – a traditional stanza of four lines with an

alternating rhyme pattern. A distinguishing feature of Heine's verse was his characteristic use of

irony and poetic reversal. Scholar Kofi Agawu discusses poetic reversal, also known as

Stimmungsbrechung, as "a moment of logical progression in the narrative, which is then

disrupted, and that this disruption is an event of great dramatic significance."[61] The use of a

folkish four-line stanza was a perfect vehicle for Heine to disrupt the narrative progression as it

allows the author to "set up a pattern by repetition and then alter it."[62] Schumann was a very

well-read composer, acting as co-founder, editor, and music critic at the *Neue Zeitschrift für*

Musik.[63] Heine's verse was very much en vogue at the time of *Dichterliebe* and Schumann would

have known this. He would also have been aware that the enlightened middle classes that

attended *Hausmusik* gatherings were familiar with traditional quadratic settings. This public

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[60]   Finson, *Book of Songs,* 62.

[61]   Kofi V. Agawu, "Structural 'Highpoints' in Schumann's 'Dichterliebe'." *Music Analysis* 3, no. 2 (1984): 161.

[62]   Rufus E. Hallmark. *The Genesis of Schumann's Dichterliebe: A Source Study*. (Ann Arbor, Mich: UMI Research Press, 1979), 49.

[63]   Barbara Turchin, "Schumann's Song Cycles: The Cycle Within the Song." *19th-Century Music* 8, no. 3 (1985): 232.

would have had certain expectations within the arc of a poetic stanza or quatrain.[64] It is these expectations that Heine and ultimately Schumann manipulated in the polyrhythmic lied.

The *Volkston* of Earlier Lieder

Prior to examining instances of the polyrhythmic lied in *Dichterliebe*, it is important to discuss earlier examples of lieder settings. This will help establish the novelty, sensitivity, and subtlety of Schumann's musical text settings that set him apart from his contemporaries. It will also assist in reconciling the tradition and modernism of Schumann's art.

The prefix *Volk-* (folk-), used throughout the literature, refers to a key feature of lieder (see works by Herder, Thym, Finson, and Ferris among others). The century prior to the Franco-Prussian war of 1870-1871 and the subsequent founding of Germany was ripe with nationalistic sentiment – following the lead of the important pre-Romantic philosopher Johann Gottfried Herder, lieder were an important unifying device for the German "folk" because the songs combined the German language with music. This folklike ideal of German culture, known as *Volkstümlichkeit* or "folksiness", was propagated by German-speaking peoples.[65] The earliest settings of the lied accorded the most important role to the text and a subordinate role to the accompanying instrument (usually the piano but also sometimes the guitar). Composers used the musical accompaniment to heighten the sense of the text: "Music was to support the words, to provide scansion and mood without getting in the way."[66] It wasn't until later that instrumental accompaniment began to challenge the hegemony of the vocal line and text.

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[64]   Ferris, *Robert Schumann,* 266.
[65]   Bingham, Ruth O., "The Early Nineteenth-Century Song Cycle," in *The Cambridge Companion to the Lied*, ed. James Parsons, 101-19. (Cambridge: Cambridge University Press, 2004), 102.
[66]   Bingham, *Nineteenth-Century Song Cyle,* 102.

In the *Cambridge Companion to the Lied,* many critics considered Schubert to be the father of the lied, describing the novelty of his piano accompaniment in *Gretchen am Spinnrade* (1814) to imitate a spinning wheel.[67] We know however that cycles of lieder existed as far back as 1790 and these critics were in fact wrong.[68] Scholar Marie-Agnes Dittrich notes that there were already historical precedents for musical *topos* or topics – "one of numerous characteristic musical figures associated with various moods, scenes, and situations long familiar to Western Europe. What is new in *Gretchen am Spinnrade,* rather, is Schubert's exploitation of the song's means: his *polyrhythmic* (my italics) combining of an accompaniment and a quite differently structured vocal line."[69] Moreover, there are famous examples from Schubert's *Die schöne Müllerin,* complete with arpeggios depicting the babbling of the brook, and the hurdy-gurdy operator grinding away in the accompaniment of *Der Leiermann* from *Winterreise.* By the time of Schubert, we see that instrumental accompaniment is closer in importance to the poetry - it could at times be used in other means than to simply heighten the sense of the text. Schumann thus inherited a tradition that was already evolving from traditional voice-plus-accompaniment folk evocations to more substantial artistic works where instrumental accompaniment was gaining importance. Schumann simply pushed his polyrhythmic lied to a level that had not been seen before.

Dichterliebe

The core subject of this chapter is how the concept of Finson's polyrhythmic lied manifests in Schumann's song cycle *Dichterliebe.* So far, we have discussed Heinrich Heine,

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[67]   Marie Agnes Dittrich, "The Lieder of Schubert," in *The Cambridge Companion to the Lied*, ed. James Parsons, 85-100. (Cambridge: Cambridge University Press, 2004), 85.
[68]   Bingham, *Nineteenth-Century Song Cyle,* 102.
[69]   Dittrich, *Lieder of Schubert,* 85.

who established the centrality of *Volkstümlichkeit*, the tradition of lieder that Schumann

inherited, and the amateur salon settings of *Hausmusik* where lieder were performed. Let us now

explore instances of polyrhythm in *Dichterliebe* through specific reference to text-music

relationships from selected songs in the first volume (8 songs) of Schumann's cycle.

Finson and others have oft-cited the opening of the *Lyrisches Intermezzo*, which begins

with a prologue about an "oafish" knight who dreams of a water nymph, only to be woken in a

"gloomy poet's chamber."[70] In *Dichterliebe* however, Schumann begins without the text from

this prologue and opens with the poem, *Im wunderschönen Monat Mai.* The text describes the

"buds in bloom," "burgeoning love," "singing birds," and features the poet's confession of love

to his beloved. Without context, the folkish verse depicting the beauty of nature and the month of

May betray none of the melancholy that is to come. Thus, Schumann would begin his cycle on a

song with an ambiguous tonal center (F# minor and A major) reflecting the "longing and desire"

of Heine's poet. Schumann could have assumed his educated middle-class audience would be

familiar with Heine's famous prologue, but he chose to underscore the irony of the cycle using

the polyrhythmic lied. In his study of the cycle, Arthur Komar discusses "juxtaposition" of the

piano's F# minor in contrast to the "explicitly stated" vocal A-major, which is "attenuated by

moves to B minor and D major."[71] The key of F# minor is never confirmed with a cadence

resolving to the tonic and even finishes on an unresolved dominant-seventh chord before moving

into the key of A major in the second song. As Finson shows, "the tonal basis of the first song,

and by implication the foundation of the whole cycle, is a sham: the home key, like love itself,

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[70]   Finson, *Book of Songs,* 61.
[71]   Komar, *Dichterliebe,* 66.

does not exist."[72] This half-cadence at the end of *Im wunderschönen Monat Mai* is among the

most discussed aspects of *Dichterliebe* in the literature.

The polyrhythm of the second song *Aus meinen Tränen sprießen* is more subtle. Here, the

voice continually cadences on the unstable scale degree B (dominant E major7 chord in the

accompaniment), which is held with a fermata. Finson calls this another kind of "unsatisfactory

cadence" that must be fulfilled by the piano in a kind of mocking gesture.

Because the poetry of *Dichterliebe* is mostly iambic (iambs are units of one unstressed

syllable followed by a stressed syllable), there is a "pervasive anacrusis beginning each line"[73]

on an unstressed syllable followed by a stressed syllable on the downbeat. As a result, the vocal

part of every song until *Hör ich das Liedchen klingen* (song 10) begins off the beat. Don Michael

Randel shows how Schumann disrupts the accentual pattern with the word "Schenk" in *Aus*

meinen Tränen sprießen, making it the first "musically accented syllable" by placing it on the

downbeat.[74] The other notable change in the pattern of the anacrusis is the beginning of line 7,

which begins with "*deinem"* on the downbeat preceded by two syllables. Allen Forte has

suggested that Schumann did this to highlight the return of the rhyme pattern of the opening

couplets in the AABA form to match "*Aus meinen"* and "*Und meine"* with "*Und vor deinem"* –

the corresponding pronouns of _my tears, my sighs,_ and _your_ window are thus paired cleverly by

the accentual pattern created in the music by Schumann.[75] Here, the polyrhythm is running

congruently with the poetry to highlight the sound of the words and to reinforce the meaning of

the verse.

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[72]   Finson, *Book of Songs,* 63.

[73]   Hallmark, *Genesis of Schumann's Dichterliebe,* 38.

[74]   Don Michael Randel, "Congruence between Poetry and Music in Schumann's
Dichterliebe." *19th-Century Music* 38, no. 1 (2014): 35.

[75]   Komar, *Dichterliebe,* 106.

The third song, entitled *Die Rose, die Lilie, die Taube, die Sonne,* is set to one long stanza and is the only poem of the set that does not contain a quatrain. The poet-narrator is happy in this moment: "everything seems well as the poet exults in the carefree confession that he no longer loves the rose, lily, dove, and sun, but only the little, dainty, and pure one – his love. And yet, the happiest moment in *Dichterliebe* is also the shortest."[76] Though the original poem is made up of six lines, the ending of Schumann's song repeats the assonance of earlier (on the words *Kleine, Feine, Reine, die Eine*). Schumann is thus "overemphasizing" Heine's irony.

Earlier, we discussed the idea of poetic reversal or *Stimmungsbrechung* within the texts that were set to *Dichterliebe.* Arguably the most famous of these moments occurs in the fourth song of the cycle, *Wenn ich in deine Augen seh.* In this poem, the first three couplets feature the protagonist's feelings of affection towards the beloved, describing her eyes, lips, and breast. The reversal occurs in the final couplet, where there is the famous change in direction that evokes the protagonist's "bitter tears," likely because he realizes that the beloved does not love him back. This crucial moment in the song, which Agawu describes as a structural highpoint, has been commented on extensively in the literature (see also Komar, Sams, Hallmark, Agawu, Hoeckner, and Randel).

The poem is strikingly regular in its accentual pattern, rhymes, and strophes. Randel shows that each line "has four accents, eight syllables, and a masculine rhyme", that the poem contains two "structurally-identical strophes," and that the "text itself does not vary the syllabic rhythm."[77] The obvious and generic treatment of such a poem would be to accord repeated musical material in duple meter (two stressed syllables per bar) in strophe one and two.

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[76]   Hoeckner, Berthold. "Schumann and Romantic Distance." *Journal of the American Musicological Society* 50, no. 1 (1997): 73.
[77]   Randel, *Schumann's Dichterliebe,* 40.

However, to set the music in such a way would betray a misunderstanding of Heine's turn in poetic direction, the *Stimmungsbrechung,* of the final couplet. Not only does Schumann not set the final couplet to the same music, but he treats the two stanzas as though they were through-composed. *Wenn ich in deine Augen seh* is the first through-composed song, likely because it represents an important turning point in the narrative arc.

The fourth song is also the first in triple time and the accentual weight of each couplet is placed at the endings of lines (*Augen, Leid und Weh, Mund*). To place these "weighted endings" of the poetry on important metrical accents and the masculine rhyme on the downbeat, composers will often set the eight syllable lines to an anacrusis followed by strong-weak eighth note pairs on the three beats of the measure. Randel shows that this rhythm is indeed seen throughout the piece in the piano part (without the anacrusis, and with the use of dotted rhythms), but that the vocal part cleverly weaves around this conventional pattern and places any of the four poetic feet on the musical downbeat throughout the song. As a result, the opening statement of *Wenn ich in deine Augen seh,* which is accompanied by a single held chord in the piano, has an ambiguous meter; the triple time is not confirmed until the piano plays the figuration of the second measure.[78] This metrical ambiguity was obviously desired by Schumann because in addition to this, he placed important syllables and weighted line-endings on various beats of the ¾ time throughout.

The most debated topic of all regarding this song is whether Schumann truly understood the "sting" in Heine's poetry because of the way he treated the melody and piano postlude at the ending of the song. Hallmark succinctly put this issue to rest in his study of the Zwickau sketches. It was common practice as far back as the 17th century to use word-painting in songs to

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[78]   Randel, *Schumann's Dichterliebe,* 40.

highlight important or dramatic moments in the text that the composer wished to bring to the attention of the listener. In the sketches, Schumann wrote a B – Bb – A on the word *bitterlich*, which would have finished the song on a chromatically-inflected word-painting to describe the poet's bitter tears. However, he removed the Bb in the published version and rather chose to "foreshadow it by using the chromatic note and diminished seventh chord on the word *sprichst.* His music therefore surprises us before it should; it anticipates the poem's reversal rather than underlining it."[79] Schumann thus elected for a more subtle hint of the poet's forthcoming plight in his movement from G to G# on the word *sprichst* of the penultimate line of the poem. The first line of this final couplet is the only instance where the beloved is the subject and as Randel elaborates, is completely unique from everything else in the song – it is sung to the longest note in the voice part, the piano plays a downward arpeggio, and the accent that falls on the downbeat is the second accent of the line in the poetic meter. To summarize, the through-composition, metrical ambiguity, irregularity of syllabic accentuation, and the treatment of Heine's poetic reversal in the fourth song are all examples of a sophisticated "polyrhythmic" voice and piano relationship.

In *Im Rhein, im heiligen Strome,* the text abounds with religious imagery, from the "holy river" and "great cathedral" to a depiction of the Virgin Mary. The famous irony of Heine appears in the last couplet of the final stanza, where the narrator rather inappropriately equates the eyes, lips, and cheeks of the Virgin Mary with those of his beloved, as though the beloved stood above even the Blessed Mother. This is reminiscent of the fourth song, where Agawu's

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[79]   Hallmark, *Genesis of Schumann's Dichterliebe,* 49.

structural highpoint or climax occurs at the end of the vocal line and is followed by an instrumental postlude.[80]

The music proceeds in *alla breve*, with austere dotted rhythms and Baroque-like counterpoint. Finson contends that Schumann "suspends the vocal melody like a cantus firmus over the instrumental dirge," calling it a funeral march.[81] Hallmark likened the piece to a chorale, citing Schumann's critique of Mendehlssohn's *Melusine* overture and "more fantastic look" that "keeps the player calmer."[82] The minor key, *alla breve,* accented octaves in the bass and relatively low range of the voice all add to the severity of the work. Meebae Lee has discussed at length the influence of J.S. Bach on Schumann – his years under the tutelage of Heinrich Dorn during the 1830s were filled with contrapuntal studies of the great German baroque organist - and of all the individual songs of *Dichterliebe, Im Rhein, im heiligen Strome* could arguably be the most "Baroque." Of course, Lee also notes how Schumann took his studies of Bach and appropriated them into a "stylistic approach that was equal parts homage and innovation."[83] For example, Schumann modulates to several distantly related key areas in the piano part after the second stanza, demonstrating his use of modern compositional techniques while simultaneously paying homage to Bach in the preceding and following sections. As mentioned earlier, the polyrhythmic lied can run "congruently" or "divergently" from the meaning of the poem. In *Im Rhein, im heiligen Strome* the severe contrapuntal Baroque writing with Romantic harmonization

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[80]   Agawu, *Structural 'Highpoints',* 161.

[81]   Finson, *Book of Songs,* 65.

[82]   Hallmark, *Genesis of Schumann's Dichterliebe,* 49.

[83]   Meebae Lee, "Schumann's Romantic Transformation of Fugue: 'Fugengeschichte," 'the Well-Tempered Clavier', and 'Vier Fugen' Op. 72," *Acta Musicologica* 86, no. 1 (2014): 99.

serves to reinforce the religious majesty of the Gothic cathedral from Heine's poem while simultaneously "suggesting that the speaker's ardent longing is doomed."[84]

One of the most salient points brought to my attention through the literature review of text-music relationships was the striking way in which Schumann emulated the increased phonetic density of the poem with diminution in the length of the phrase. Randel summarizes this practice in the following passage.

> There is as well an increasing density of sound as we move through the poem. The first strophe begins with the word *Im.* The second strophe begins with the same word, but then so, effectively, does the second half of this strophe (beginning with *In*), thus marking the structure of the strophe as consisting of two independent clauses. And in this strophe the second accented syllable in lines 6 and 7 is *Le-.* In the third strophe the second accented syllable in three lines (10, 11, and 12) begins with *L,* and lines 10 and 12 share the syllable *Lieb-* in this position, which links explicitly Our Lady with the beloved. This density of sound is particularly heightened by the repetition four times in close succession of the article *die* and the recurring *e* of *Augen, Lippen, gleichen,* and *Lieb-sten* in the last two lines.[85]

He then shows how Schumann decreased the length from four- and eight-bar, to three- and six-bar, to two- and four-bar phrases as the poem progresses towards the reversal at the end. Yet again, Schumann music moves congruently with the text to make sure that we follow the narrative path.

One of the most iconic examples of the "polyrhythmic" lied is *Ich grolle nicht,* the seventh and penultimate song of the first volume of *Dichterliebe.* The song is in regular four-bar phrases, but it is the only song in the cycle written in iambic pentameter (meaning there are five stressed syllables in a line). It is also the only lied of the cycle whose text shows reproach

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[84]   Finson, *Book of Songs, 65.*
[85]   Randel, *Schumann's Dichterliebe,* 43.

towards the beloved. For the pentameter to fit the quadratic setting, Schumann repeats fragments of the lines to fill the phrases. He carefully selects fragments of the text that are centered around forgiveness (*Ich grolle nicht),* or love lost (*Ewig verlor'nes)*, while circumventing the text that condemns the beloved. The piano, however, continues to hammer away in a forward direction, playing its four-bar phrases as if nothing was happening and diverging from the implied direction of the poetry.[86] *Ich grolle nicht* "seems to contradict the denial expressed in the poem's first line…the piano's pounding…intensify the discrepancy between surface words and the barely concealed strong passion."[87] It is not until the phrase, "*Und sah die Schlang', die dir am Herzen frisst - And saw the serpent gnawing at your heart*" that Schumann finally reaches the structural highpoint of the song in the famous optional high A of the voice. Schumann's method for fulfilling our "quadratic expectations" in *Ich grolle nicht* is to take liberty with setting the verse in the song to delay this inevitable moment of reproach in the voice for dramatic effect.[88]

Summary

We have examined text-music relationships in selected songs of *Dichterliebe* to understand how and when Schumann used polyrhythm to converge, run in parallel, or diverge from the sense of Heine's poetry through the cycle. There was no one method that Schumann adhered to – we have discussed his use of tonal ambiguity, metrical ambiguity, irregular syllabic accentuation, Baroque-style counterpoint, fragmentation, and manipulation of "quadratic expectations" as a means of highlighting Heine's irony and the multiple meanings of the verse. Studying the vocal music of Schumann gives us a lens into the developments of German

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[86]   Finson, *Book of Songs, 65*.
[87]   Thym, *Schumann: Reconfiguring the Lied,* 136.
[88]   Finson, *Book of Songs,* 35.

Romantic music in the song cycle genre, and with the framework of the polyrhythmic lied, we can discover further levels of meaning.

Chapter 3

Arranging the Piano Accompaniment of *Dichterliebe* for the Classical Guitar

The following chapter will present the "data" from my arranging journal (December 2020-November 2022), excerpts of the engraved guitar part of my arrangement, and comparative analysis between various drafts of those excerpts and the original score. In so doing, I hope to articulate the arranging process in a way that demonstrates how and why I arrived at the solutions that I did, and why I abandoned other possibilities. To keep track of my thought processes and decision-making throughout the entirety of the project, I kept a journal and copies of my drafts of each song. The journal entries were dated and divided by song in bullet-point format. The song drafts were saved as individual files and labelled so that I could reference them and compare those versions to later drafts. I began the journal in 2020 by setting criteria that would serve as guiding principles throughout the arrangement process, and as I accumulated more "data," I would revisit the original criteria and adapt or remove them as needed.

The original questions that I used to set my "arranging criteria" were the following: 1) can I maintain all the original keys of the work without retuning the instrument between songs, 2) could I produce a score of Schumann's piano accompaniment that was idiomatic and ultimately playable on the guitar, and 3) would the final version reflect the composer's original intentions or would I need to incorporate changes that would make parts of the work unrecognizable when played on the guitar? Ultimately, I decided that my arrangement must meet the following three criteria: 1) maintain all original keys, 2) create an idiomatic guitar score, and 3) respect the composer's intentions.

I began by notating the guitar part of each song into the score-notation program Finale one at a time, beginning with *Im wunderschönen Monat Mai* and finishing with *Die alten, bösen*

Lieder. My first experiments with the arrangement of the cycle occurred in December 2020, and my final note input of the guitar part of *Die alten, bösen Lieder* took place in November 2022. As I arranged each song and notated it in Finale, I extracted fragments from the notated arrangement, which included but were not limited to single-voice melodies (or melodic fragments), counterpoint, harmonies, range, and voicings, followed by experiments with the excerpts on the guitar. As I did this, I would return to my journal and enter my findings, followed by adding changes to the score if needed.

Once I deemed that the first draft of a song was complete, it would be presented to my supervisor Jérôme Ducharme. Over the course of nine coachings with Ducharme – taking place from May 2021 to November 2022 - I would return to my first draft and incorporate changes from the lessons, which were often significant enough to warrant a new, second draft. In these sessions, we would work from the original piano score rather than my arrangement sketches to ensure that we were maximizing the amount of information that was translated.

The second draft of the score was learned and memorized prior to my first rehearsals with tenor Jean-Philippe Fortier-Lazure in Sudbury in May 2022, where we workshopped and performed the first eight pieces in front of a live audience. Though the rehearsal and performance did not result in any changes to the notes of the guitar arrangement, these first practice sessions with the singer allowed me to gain more advanced interpretive insight into performing the work, such as breathing and phrasing with the text, considering the affect of the text and the congruency (or lack thereof) with the instrumental part, tempi, dynamics, and other expressive parameters. These interpretations were further refined with committee member and collaborative chamber music expert, pianist Michael McMahon in September 2022. In these rehearsals we considered the syllabic content of the text and its role in determining how to make the

instrumental part "breathe" with the singer, the mood of the poetry and how this should be

reflected or contrasted in the guitar part, and elements of tone-painting that affect tempi,

articulation, and phrasing of the instrumental part.

Key Technical Concepts

Left Hand vs. Right Hand: The international standard notation for classical guitar left- and

right-hand fingerings are presented in Figure 1. The guitarist's <u>left</u> hand is responsible for

depressing strings over the fingerboard. Fingers are labelled with numbers 1 (index), 2 (middle),

3 (ring), and 4 (pinky). The thumb of the left hand remains behind the fingerboard and is

unlabeled. The <u>right</u> hand is responsible for plucking or strumming the strings of the guitar.

Fingers are labelled p (thumb), i (index), m (middle), a (ring or annular), and c (pinky or

chiquito). Though I am a proponent of using the right-hand pinky in training, the c finger is

rarely used even among advanced professionals.
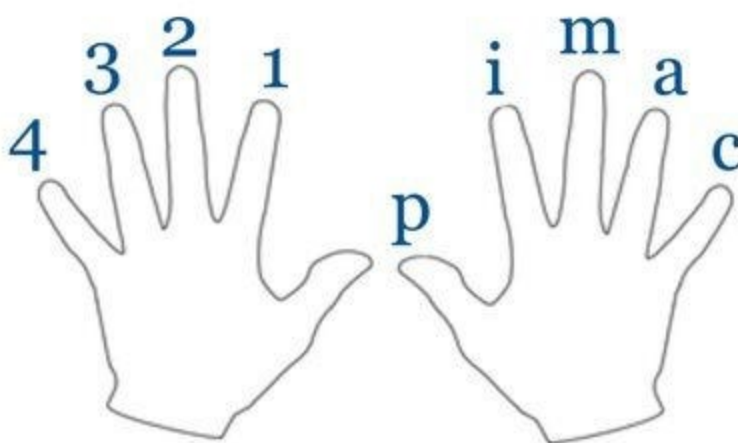
Figure 1. Depiction of left and right hands with labelled fingers.[89]

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[89]   Allen Mathews, "Classical Guitar 101: String Names, Finger Names, and More,"
Classical Guitar Shed, accessed October 13, 2022, https://classicalguitarshed.com/guitar-string-finger-names/.

Open vs. Closed String: "Open" strings are plucked <u>without</u> left hand finger depression on the fingerboard. Closed or stopped strings are depressed by a left-hand finger in a guitar fret.

Standard Tuning: The standard guitar tuning used internationally is E A D G B E, from sixth string to first string.

Fret: Position on the fingerboard that is perpendicular to the strings and divided by two metal brackets. When a left-hand finger depresses an area of the string within the metal bracket, the desired note is changed.

Barre: One finger (typically the 1st finger) depresses multiple adjacent strings in a fret simultaneously.

Notated vs. Sounding Pitch: The guitar is notated one octave higher than it sounds. All figures utilizing guitar notation below sound one octave below the notated pitch.

Capo: Device attached to the guitar fingerboard to simulate barres. When applied to a fret, depresses all six strings simultaneously and can be left on indefinitely.

Harmonic: Harmonics are bell-like tones produced at certain nodes on the fretboard. Natural harmonics are produced by placing a left-hand finger over the node of an open-string and plucking with the right hand. Natural harmonics can only occur at certain nodes (see Fig. 2). Artificial harmonics are produced entirely by the right hand. By depressing the string within a fret using a left-hand finger, the right hand i-finger (index) can be placed over the node relative to that note and the right-hand a-finger (ring) can pluck the string. Artificial harmonics can be played on any note as the nodes are determined by left-hand placement and not an open string. Notation of harmonics in the guitar literature is not standardized, as many editors will use diamond noteheads on the notes themselves while others will write diamonds above the desired

note. The former is the method that I have elected to use in my notation. Natural vs. artificial

harmonics will be specified above figures.
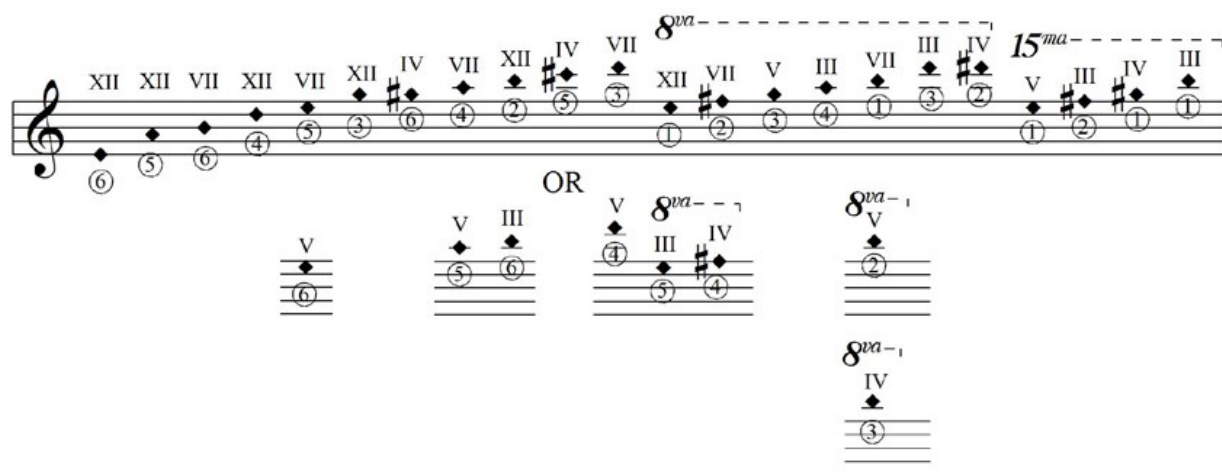
Figure 2. Possible <u>natural</u> harmonics on the guitar.[90] Note that they are notated with a diamond notehead on the desired note.

How I Met the Criteria in My Arrangement

My first and most immediately relevant criterion for arranging *Dichterliebe* was to

maintain all original keys when transcribed for guitar. Due to the physical characteristics of the

guitar, certain musical keys (e.g., A major, B minor, etc.) are much more difficult to play than

others because of the way the guitar is tuned. The difficulties are compounded when there is

counterpoint and polyphony. The standard six-string guitar tuning used in music performance is

E A D G B E (from the sixth to the first string). This tuning can be changed as needed (using

scordatura). The most common scordatura found on the guitar requires lowering the sixth string

one whole tone to D A D G B E to produce an octave between the sixth and fourth strings, or a

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90   Jonathan Godfrey, "Principles of Idiomatic Guitar Writing" (PhD thesis, Indiana University, 2013), 71.

fifth between the sixth and fifth strings. This can also produce a low D2 pitch, which is useful when playing in keys that require extensive use of the D (e.g., D major, D minor, G major, G minor, etc.) as a prominent harmonic note. Retuning a string on the guitar requires stretching and loosening the tension of the string until it can vibrate at the desired pitch frequency; the low E on the guitar vibrates at 82.4 Hz, while a low D vibrates at 73.4. Due to a variety of reasons, changing the tuning of a guitar string will result in a time-lag for the string to adapt to the new desired pitch. I kept in mind throughout the entire process that the goal was to perform all 16 songs consecutively and therefore the choice of how to tune the guitar and any needed scordatura was critical; multiple tuning changes would break the flow of the cycle as guitar strings need time to settle into new tunings. Though other tunings of the guitar are possible, extensive retuning between songs would lead to problems with intonation and therefore needed to be limited.

To determine the best way to retune the guitar between songs, I began by examining the keys of all sixteen songs. The use of open or unstopped strings is paramount to facile guitar playing and therefore keys that contain sharps tend to be easier to play than those that utilize flats, as they allow for greater use of open strings and are less cumbersome on the left fretting hand. The keys of the songs in the first half of the cycle fall into this category comfortably: F# minor, A major, D major, G major, B minor, E minor, C major, A minor (Songs 1-8). Potentially problematic were the keys of songs in the second half of the cycle: D minor, G minor, Eb major, Bb major, Eb minor, B major, E major, C# minor/Db major (Songs 9-16).

Before continuing, I must discuss two relevant technical concepts that affected my tuning decisions over the course of the years that I arranged the work. The first is the use of the barre technique, which requires stopping some or all the strings on one fret with a single finger, which

is almost always the first finger (left hand index finger). Barres permit the guitarist to transpose left hand shapes onto different portions of the fretboard, greatly extending the range of pitches that can be played since one finger can essentially change the pitch class of six notes simultaneously. The second is the use of a device called a capo or capodastro, which is attached to the fretboard and simulates a barre by stopping all the strings on one fret. This is a device commonly used in popular and folk music, as it allows for easy transposition of any piece into another key; put the capo on the second fret, and a piece is easily transposed up a tone, making the capo a powerful tool for accompanying singers or other instruments with varying vocal and pitch ranges.

In deciding how to change the scordatura of the guitar, where and when to use barres, and whether I would need to use a capo from one song to another, I had to consider the keys and key relationships of the cycle from a holistic perspective. The second half of the cycle contained certain keys that would prove to be more difficult to play on the guitar because the keys utilized fewer open string possibilities, greatly increasing the need for barres or the potential use of a capo. The more that barres are needed, the higher the strain on the left hand as the first finger is required to constantly depress multiple strings, which can lead to fatigue over time – this is of particular importance in maintaining stamina for 30 minutes, which is the approximate length of *Dichterliebe*. This is true when performing music with dense textures (i.e. vertical chords with many notes), as is often the case in a guitar transcription of a piano work. Though barres are a standard technique required in beginner guitar training and are necessary for most intermediate and advanced repertoire, it is important to rest the first finger when possible. This affected my choice of keys in arranging *Dichterliebe* as I wanted to ensure the most efficient use of the barre technique.

The first solution to the flat-key problem of the second half of the cycle was proposed by my supervisor Ducharme. Ducharme noted the possibility of using a scordatura that was a semitone lower than standard tuning (Eb Ab Db Gb Bb Eb), followed by using a capo on the first fret (the capo would change the tuning back to the standard E A D G B E) and playing everything one fret higher than the original arrangement. Once I arrived at keys that required more flats, I could remove the capo and the flat open strings would be at my disposal. It was an elegant proposal that I ultimately abandoned because upon experimentation on the guitar with the new tuning and capo, the first half of the cycle became more difficult to play, and the intonation was less precise. The trade-off that some of the later songs became easier did not warrant the new problems that were created using the capo in the first half; the first 10 songs already sat in familiar and idiomatic guitar keys that could employ extended use of open strings without the need for a capo. However, this solution of combining scordatura with a capo could be of potential use in the future, particularly when arranging major multi-movement works that require extensive use of flat keys and where key relationships must be maintained between movements.

A second solution that I experimented with to tackle the flat key problem of the latter half of the cycle required retuning the sixth string to a low Eb. This would extend the potential range of the songs in Eb major and Eb minor, *Ein Jüngling liebt ein Mädchen* and *Ich hab' im Traum geweinet* and allow for a low Eb open string tonic pedal. However, upon experimentation with the counterpoint in the songs, the tuning change was deemed unnecessary as the voicings and textures could be comfortably adapted to the fingerboard without going against Schumann's intended contrapuntal logic.

The final solution that I arrived at with regards to the tuning of the guitar for the entire cycle was to employ the "drop-D tuning" scordatura in *Die Rose, die Lilie, die Taube, die Sonne* (song 3), *Und wüßten's die Blumen, die kleinen* (song 8), *Das ist ein Flöten und Geigen* (song 9), *Hör' ich das Liedchen klingen* (song 10) and the use of the capo for two others, *Allnächtlich im Traume* (song 14) and *Die alten, bösen Lieder* (song 16). The discussion of each song below will explain these choices in detail.

Ensuring an Idiomatic Arrangement

With regards to notation, it is important to mention that all notes of the guitar sound one octave lower than notated. This is especially relevant when considering the ideal register for a specific passage when transcribing from another instrument that has the same notated and sounding pitches (such as the piano). Though the guitar is a polyphonic instrument, notes are typically notated onto one staff rather than using grand staff.

I have divided the following section into the individual songs of *Dichterliebe* to demonstrate decisions that I took to maximize the playability of the cycle on the guitar. The following musical examples are reflections on the entries of my arranging journal.

#1. *Im wunderschönen Monat Mai*

Unlike the piano, the classical acoustic guitar cannot sustain notes by using a pedal (piano: "Ped."). Furthermore, only one note can sound per string at a time. The guitar is an attack-and-decay instrument; once a note has been attacked or plucked it will immediately begin to decay over time. To achieve legato with the left fretting hand, a fretted note must remain depressed for it to continue sounding during its decay. If the finger is removed from a note

during its decay, the note will no longer continue sounding. Moreover, in his dissertation on the idiomatic principles of guitar writing, Jonathan Godfrey notes that "a fundamental precept of the classical guitar arpeggio is the over-ring of different strings created by the right-hand plucking different strings in succession."[91] This "over-ring" is a feature of the guitar that increases the instrument's ability to sustain notes for longer periods of time, and when utilized in cross-string arpeggios, is a way of simulating the "Ped." of the piano.

To achieve the legato effect that Schumann desired by using the "Ped." in *Im wunderschönen Monat Mai*, I experimented with cross-string arpeggios. Since two notes cannot sound on one string of the guitar simultaneously, the only way to achieve the smooth and blended overlap of the "Ped." effect was to use the cross-string arpeggio technique as much as possible within the context of Schumann's phrase markings. Though the tonal center of the opening song of *Dichterliebe* is ambiguous – the implied F# minor is never explicitly stated – the open E, A, D, and B strings were available within the C#/D dichotomy of tonalities to assist with the cross-string legato (less left-hand fingers are needed when open strings are used).

One musical device employed by Schumann to underscore the relationship between text and music in the opening song is the use of a motivic inversion of a descending third in the instrumental part (G-F#-E) and an ascending third in the voice (F#-G#-A). I felt it was important to play the descending third of the opening measures on stopped strings so that I could use vibrato and dynamics to shape this melodic fragment. My original idea was to play those high notes as artificial harmonics, which allows the guitarist to play notes an octave higher than written. The artificial harmonic technique allows for incredible flexibility in the choice of which notes can be played as harmonics. The trade-off is that artificial harmonics lack power and

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91   Godfrey, "Principles of Idiomatic Guitar Writing," 35.

sustain, and vibrato on harmonics is much less obvious than on fretted notes. Fretting the high

notes on the first string requires more dexterity in the left hand, but the volume, power, and

control gained in shaping the important melodic fragment was a compromise I felt was necessary

to bring out the gesture Schumann desired. I did however decide to incorporate one artificial

harmonic on the 12th fret of the D-string to disguise a difficult left-hand shift from the 5th fret to

the 11th.
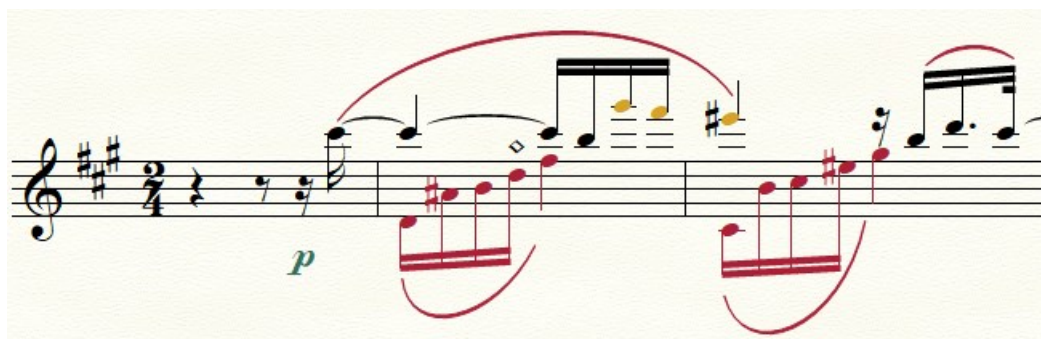
Figure 3. Excerpt of opening two measures of *Im wunderschönen Monat Mai* arranged for the guitar to demonstrate 1) the register of the descending 3-note motive (G – F# - E#), 2) the artificial harmonic (indicated by a diamond figure) in measure 1 to facilitate the left-hand shift, and 3) the cross-string arpeggios in red.

The final draft of the first song required few changes to the original piano score. To

achieve a fluid legato throughout, notes were sometimes deleted, while keeping their rhythmic

and harmonic implications. One subtle example of this occurs in measure 6, where I decided to

remove the high E in the bass to facilitate the barre by replacing the two sixteenth notes with an

eighth note on the low open E. Another minor change occurs in measure 10-11, where I inverted

the bass down a fifth to the lower octave rather than up a fourth so that the bass could continue to

sound while I played the rest of the arpeggio.
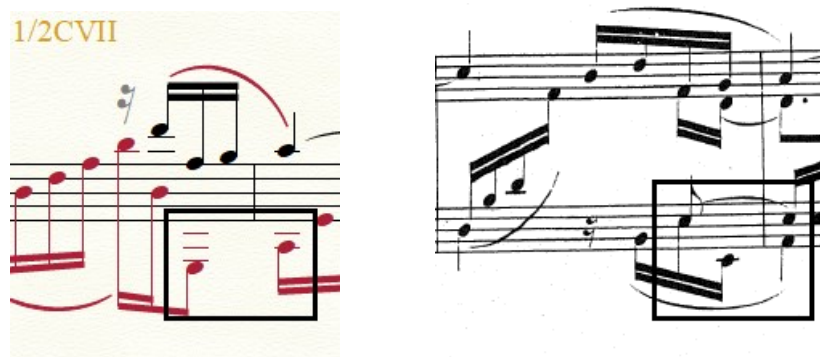
Figure 4. Minor alteration of bass voice-leading to facilitate left-hand movements in the guitar.

Figure 5. Inverting a bass voice (Perfect 5th down, originally perfect 4th up in the piano edition) from piano to guitar is a common practice that occurs in various places throughout all sixteen songs.

#2. *Aus meinen Tränen sprießen*

The range of pitch classes on the piano is much larger than that of the guitar. Throughout the entirety of the arrangement, one of the most recurrent decisions that I had to make was to assess the ideal register for a particular passage when translated to the guitar. Moreover, due to the biomechanical limitations of the left hand, a guitarist can only stretch his/her left-hand fingers a certain span within a specific polyphonic range, further limiting the available possibilities. An effective tool for extending this range on the guitar is the use of open strings.

The second song of *Dichterliebe* sits within the wonderfully idiomatic key of A major, allowing for several open strings. The texture of static thirds with a moving bassline is very

typically found in the guitar repertoire. The main decision that I had to make here was to

ascertain which register best suited the piece, and whether the bassline should remain in its

original register. I experimented with the opening phrase down the octave and with the bassline

in both possible lower registers. Ultimately, I decided to keep the higher thirds from the right

hand of the piano in the original register and to lower the bass of the piano left hand an octave.

This allowed me to maintain the same register in the upper voice as the first song of the piece,

which I felt created greater cohesion between the two songs. I lowered the bassline to increase

the amount of resonance from the guitar to better support the voice.

Figure 6. The moving bassline at m. 29 of the guitar excerpt is an octave lower than in the piano part.

The guitar often cannot play as many notes as the piano in vertical chords and even when

it can, the arranger will often elect to remove certain notes from the vertical chords to decrease

the burden on the left hand. This requires a fine understanding of harmony and counterpoint and how they are reflected in the geography of the fingerboard. The chord in Fig. 7 contains five notes within the span of a tenth. Though a straightforward chord for any competent pianist, this chord voicing is technically impossible for the guitarist. Even if we lower the bass an octave, the four notes of the upper staff (E-G-A-C) spanning an interval of a sixth cannot fit within the confines of the first four strings. The strings are tuned in fourths and a major third and we simply run out of room, despite the possibility of an open G string.

Figure 7. Original piano chord. Example of a chord that is unplayable on the guitar without removing at least one note.

When faced with this vertical chord problem throughout the entirety of arranging the cycle, I elected to maintain the pitch classes of the outer soprano and bass voices as much as possible, as I felt these would be most recognizable to the ear. As a compromise, I removed or reoriented middle voices with respect to the counterpoint, harmony, and fretboard geography. The chord in Fig. 7, found in the second song of the cycle, was thus revoiced by lowering the bass an octave and removing the A. The G and E could also have been removed, but I took out the A because it was already in the bass. The resulting idiomatic guitar chord is seen in Fig. 8. Wherever possible, vertical chords were arranged following what we refer to in guitar parlance as "open" voicing. Professor Jeffrey McFadden has noted the preference for guitarists to utilize "chordal sonorities which exceed the octave" as a "natural consequence of the available pitch

range related to left-hand fretting limitations."[92] These "open" voicings allow easier mobility and

more natural left-hand configurations.
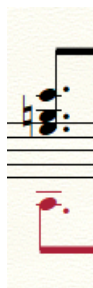
Fig. 8 – Chord from Fig. 7 revoiced to the guitar using Jeffrey McFadden's "open" voicing
principle.

Guitarists will often revoice chords so that triadic formulas can be reoriented onto

adjacent strings. It is idiomatic for vertical chord voicings on the guitar when triads are voiced on

three adjacent strings and the bass voice is separated by an octave or more – guitarists will

ubiquitously use the thumb of the right hand to play basses and the index, middle, and ring finger

of the right hand to pluck the upper three voices. For instance, I have taken the low E in Fig. 9 of

the tenor voice and moved it into a higher octave to allow for it to sit on an adjacent string to the

alto and soprano voices.
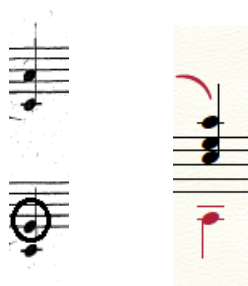
Figure 9. Chord revoiced to the guitar to allow for "open" voicing and triadic formula on
adjacent strings. The upper three notes of the guitar chord can be played on strings 1, 2, and 3 in
a common left-hand configuration.

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[92]   Jeffrey McFadden, *Fretboard Harmony: Common Practice Harmony on the Guitar*
(Saint-Romuald, Québec: D'Oz, 2010), 100.

#3. *Die Rose, die Lilie, die Taube, die Sonne*

The transcription of *Die Rose* for the guitar resembles the original piano score very closely. As in #2. *Aus meinen Tränen sprießen*, I elected to maintain the register of the upper voice while descending the lower voice an octave for easier "open" voicings. In general, chord voicings did not require reorientation. Certain three-note chords were reduced to two notes because they were unwieldy at the required tempo and detracted from the desired lightness. *Die Rose, die Lilie, die Taube, die Sonne* is in D major – I decided to implement the first scordatura of the piece by tuning the sixth string down to D, allowing for more favourable left-hand fretting possibilities and opening the range of the guitar to allow for the low D tonic tone.

#4. *Wenn ich in deine Augen seh*

Chord voicings in *Wenn ich in deine Augen seh* (#4) of *Dichterliebe* were altered in a more obvious way than the previous song. Five-note piano chords were reduced to three- or four-note guitar chords throughout by removing octave doublings. As mentioned in #2. *Aus meinen Tränen sprießen,* the outer voices of the chords were maintained while inner voices were changed. This was particularly important given the canonic repetition of certain vocal motives in the piano part. For example, the opening vocal melody seen in Fig. 10 is echoed in the upper voice of the piano in the following measure, and thus this needed to be heard in the guitar part as well. As previously noted, inner chord voicings were rearranged to allow for triadic notes to be played on adjacent strings.

Figure 10. Soprano and bass voice maintained in guitar part. One note was removed from each chord and upper triads are revoiced to fit onto first three strings of the guitar (mm. 69-70).

Certain registers of the song were maintained, while others needed to be changed to maintain playability. I was wary of changing any registers of the piano part within the phrases and elected to change registers only on boundaries of phrases, using the text as a guide. At the beginning of the song, I maintained the original register of the soprano voice until the end of the phrase "So schwindet all' mein Leid und Weh'," (mm. 70-71) electing to drop the register of the guitar part in the pickup to "Doch wenn ich küsse deinen Mund" (m. 73). The lower register is maintained until the postlude. As a reminder to the reader, the guitar is notated an octave higher than heard.

Figure 11. The register is lowered by one octave in all voices, while most chords are reduced to three or four notes (mm. 73-75).

The final decision about the arrangement of the piece that bears mentioning here pertained to the crux of the song and turning point in the cycle on the "ich liebe dich" and Schumann's famous G# discussed in chapter 2. In the first draft of my arrangement, I voiced the entire chord at measure 82 down an octave (see Fig. 12), as it was technically easier on the left

hand and slightly more resonant on the guitar. However, returning to the score while working on

my second draft, I recognized the importance of reflecting the vocal melody in the soprano voice

of the guitar part by ascending a minor third (G# - B) rather than the descending major sixth.

This minor but audible change in the guitar part demonstrates the need for the arranger's

constant reflection on the relationship between voice and accompanying instrument. I may have

ignored this moment had I not examined it closely during revision of the draft and had I not been

familiar with the text-music relationship at that moment of the cycle.

1.   First draft of guitar arrangement.
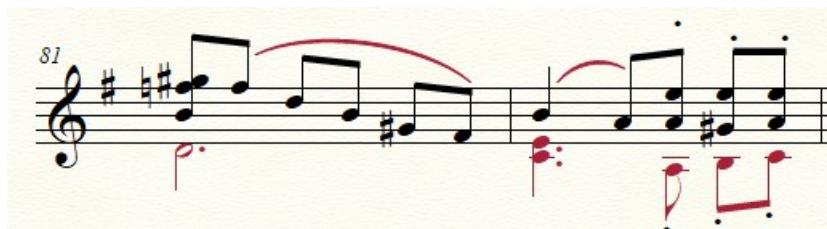
2.   Second draft of guitar arrangement.
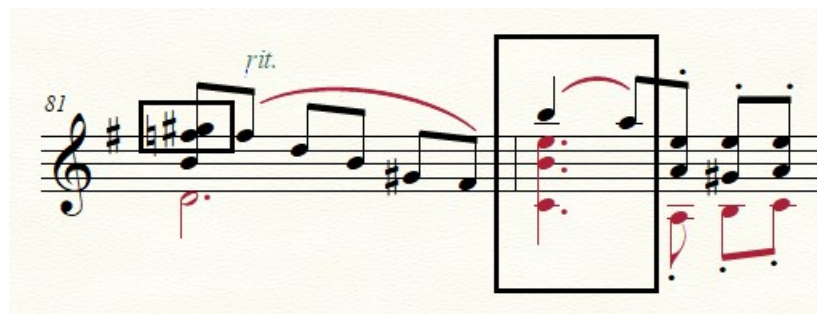
Figure 12. Intervallic relationships maintained in soprano voice in the second draft of the arrangement reflect a closer relationship between guitar and piano voice-leading in a textually pivotal moment of the cycle (mm. 81-82).

#5. *Ich will meine Seele tauchen*

The piano part of the fifth song of *Dichterliebe* features flurries of 32nd note arpeggios in

perpetual motion (no rests from beginning to end). When approaching this short but virtuosic

movement, I wanted to ensure as fast a tempo as possible while maintaining the requisite

lightness and quiet ("Leise") affect that Schumann indicated. Like in the first song of

Dichterliebe, I employed cross-string arpeggios to recreate the "Ped." indication of the piano.

Guitarists pluck the strings with the thumb, index, middle, and ring fingers of the right

hand (the pinky can also be used, though it is often ignored by many guitarists because of its

relative weakness). Through the combination of these four fingers in cross-string arpeggios,

guitarists can achieve some of the most virtuosic and seemingly intricate patterns possible on the

instrument with relative ease. Though it is not strictly necessary, fast overlapping arpeggios are best achieved when the right-hand fingers can pluck adjacent strings in the same "open" voice pattern previously mentioned with regards to vertical chords. This follows the natural anatomy of the hand, allowing the thumb freedom and separation from the other fingers to maximize efficiency. As such, I wanted to employ this principle in my transcription of the fifth song of *Dichterliebe.*

The first problem that I was faced with in arranging #5. *Ich will meine Seele tauchen* was that the piano arpeggiation texture requires playing the soprano voice of the right hand and the bass voice of the left hand simultaneously on every eighth note subdivision of the piece (Fig. 13). Pianists can use two fingers – one in each the left and right hand - to play those notes together. From the point of view of the guitarist, arpeggios are plucked with one hand. Notes that sound together in an arpeggio that are separated by several strings must be played with two fingers from the same hand. The arpeggio pattern of this song subdivides each eighth note pulsation into four 32nd note attacks. To arrange it for the guitar, I would have been required to attack every eighth note subdivision of the piece four times per measure with the thumb and ring finger of the right hand simultaneously. Though technically possible, it would have greatly increased the difficulty and more than likely required successive attacks of the thumb on 32nd notes. The burden required on the right hand would have made it difficult to achieve the lightness and speed desired for the piece.

Figure 13. Black boxes indicate bass and soprano voice sounding simultaneously in piano score.

My solution to the problem involved removing the bass attack on the eighth note subdivisions and displacing the bass notes by a single 32nd note subdivision (Fig. 14). This required revoicing every arpeggio in the piece. I felt that it was important to maintain the same contrapuntal relationships between the bass and soprano voices of the guitar part with the vocal melody, as those would be most immediately recognizable to a listener familiar with the piece. I began by doing a harmonic analysis of each individual arpeggio to determine the configuration of the chords in the piano part. I then altered the arpeggios to the guitar, following the contrapuntal logic established by Schumann in tandem with the harmonic progression, always keeping the fretboard's spatial layout in mind. I reoriented the inner voices of each chord and maintained the same pattern of right-hand attacks for each arpeggio, greatly increasing efficiency of movement. The resulting guitar texture was exceptionally idiomatic and allowed me to play the piece at the desired speed and lightness.
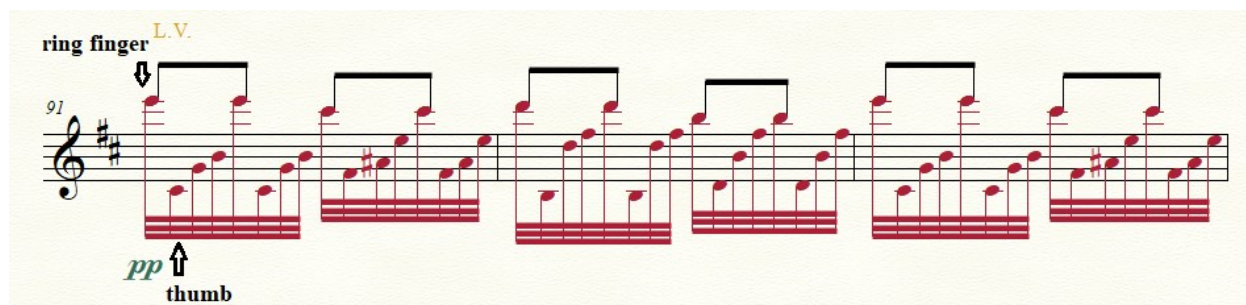
Figure 13. Introduction of #5. *Ich will meine Seele tauchen* for guitar, with lowest note displaced off the beat.

#6. *Im Rhein, im heiligen Strome*

Schumann uses Baroque-like counterpoint and figurations to depict the imposing cathedral in Cologne and the painting of the Virgin Mary inside. It was crucial for me to convey this imagery in the guitar part as much as possible, and to stay as true to the original counterpoint as possible throughout. Except for the accompaniment to the second and third stanzas, I was able to translate the piano part of the first stanza practically verbatim by lowering the register of the piano right hand by an octave and removing certain octave doublings in the introduction. Schumann employs extensive use of accented whole notes throughout the song, and every attempt was made to sustain these whole notes in the requisite voices. However, compromises had to be made when approaching the third stanza as more accidentals are used and whole notes are extended well beyond four beats with ties, sometimes in multiple voices simultaneously. Given that the arrangement was for solo guitar and not guitar duo, and that a single guitar only has six strings, it would have been impossible to sustain the bass voice for eight complete beats and the soprano voice for four beats while the middle voice took over the thematic material.

I raised the register of the second stanza in the guitar back to the original so that it would connect more naturally to the third stanza. Because there were relatively significant changes that had to be made to the third stanza regarding register changes and sustaining voices in the guitar

part, I wanted to notate the score in a way that demonstrated a consistent internal contrapuntal logic that respected Schumann's intentions. I elected to sustain the basses for four beats in lieu of eight, permitting me to sustain the soprano voice for its intended duration while playing the inner voice. I deleted notes from vertical chords to ensure that they never involved more than three notes sounding simultaneously, allowing for maximum resonance and legato without becoming overly burdensome on left hand movements. To decide which notes to remove from the chords, I used the logic established by Schumann's counterpoint (Fig. 14). I determined the most important line of this section to be the alto voice. The second part that I added was the descending chromatic scale in the soprano. Finally, I added the basses and experimented with both possible registers before completely removing the lower octave as well as some of the chord tones from the original (Fig. 15).

Fig. 14. Original piano score showing duration of bass and soprano voices. Boxes surround vertical chords.

1.   First layer transcribed to guitar (same sounding pitch as piano tenor voice)

2.   Second layer transcribed (same register as piano soprano voice)
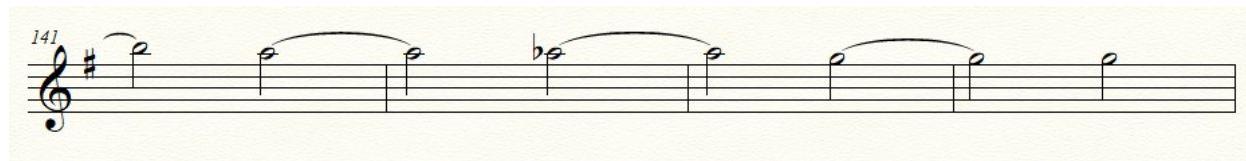
3.   Final voicing with basses added. Lowest octave of piano removed, and durations changed in bass notes.
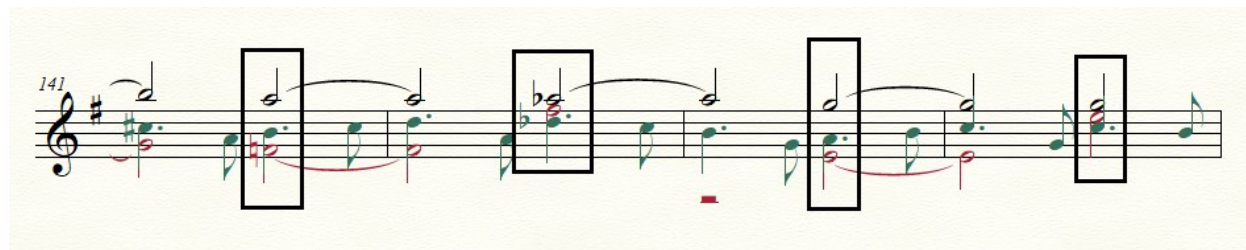
Figure 15. Three-step process to arrive at final chord voicings in modulating instrumental passage, leading to third stanza of *Im Rhein, im heiligen strome* (mm. 141-144).

Another notable change in my arrangement occurred between mm. 148-155. I originally presented this section to my supervisor Ducharme without any basses and in the original register (Fig. 16). After working on the section together, we noted a lack in the sonority of the guitar and decided to experiment down the octave. In doing so, we noticed that it was possible to reinsert the basses albeit not for the complete duration in the piano score. Though we had to change register again, the result was more resonant, more idiomatic, and better suited to supporting the voice above.

1.   First draft of arrangement.
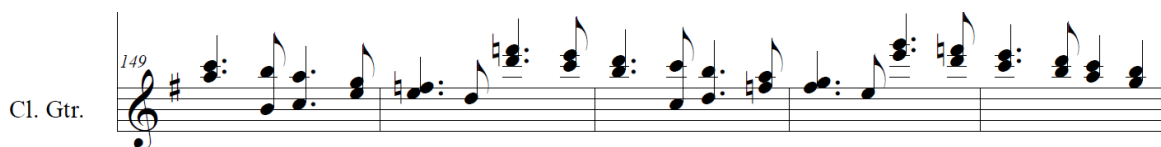
2.   Second draft of arrangement.

Figure 16. After revisiting the register of my original arrangement, I brought the whole part down the octave and was able to put the basses back as a result (mm. 149-152).

#7. *Ich grolle nicht*

This piece is essentially a one-to-one translation from the piano to guitar, as the key of C-major contains all the notes found on open strings of the guitar and the range of the piece is quite low overall. Octave doublings in the bass had to be removed as the lowest bass notes extend well beyond the range of the guitar. Except for the lowest basses, I was able to keep most of the notes in Schumann's vertical chords, incorporating minor changes to interior voices when needed. The only change of significance occurs in the final measures, where I removed certain basses and changed the orientation of chords to different inversions than those written by Schumann (Fig. 17). Since the entire piece is constructed upon repetition of vertical chords, the left-hand fingers are constantly depressing strings, many barres and half-barres are required, and fatigue can be an issue in extended rehearsal and performance. The adopted changes to the final measures decrease the load on the left hand to reduce fatigue.

Figure 17. Removed select basses and notes from chords (mm. 205-207).

#8. *Und wüßten's die Blumen, die kleinen*

Due to the recurrence of low D in the original song, the eighth song of *Dichterliebe* required a scordatura by dropping the sixth string to D. I also need to slightly alter the oscillating bass figurations to be idiomatic on guitar. Though the pattern of alternating tenths and sixths in contrary motion is technically possible on the instrument, it becomes increasingly difficult to play at faster tempi. This is because of the right-hand thumb, which is responsible for playing the low notes. More notes in the bass means more work for the thumb, which can sound clunky and heavy.

Figure 18. Opening measures of *#8. Und wüßten's die Blumen, die kleinen,* down the octave and with altered bassline (mm. 208-210). The basses are now in a 2:1 ratio with the upper voice, greatly facilitating movement of the right-hand thumb.

I elected to remove the alternating thirds of the piano left-hand and replaced them with straight sixteenth-note repetitions of the lowest note in each chord (Fig. 18). I also experimented with playing the piece in the original register, but this became unplayable for the left hand at fast tempi. Godfrey states that,

> "As a general rule, when the voice with the smallest subdivision is fast (enough that it requires more than one right-hand finger to pluck it), avoid exceeding a 2:1 ratio of notes between it and all accompanying voices. For example, if the most subdivided voice in a given passage of counterpoint in 4/4 where quarter = 92 is constant sixteenth-notes, the accompanying voices can safely sound at the combined rate of an eighth note. Drawing any closer to a 1:1 ratio can occasionally be accommodated in brief instances

but is generally too cumbersome to execute outside of slower to moderate tempos.[93]

In #8. *Und wüßten's die Blumen, die kleinen,* the smallest subdivision is a thirty-second note. According to Godfrey, at the quick tempo of this piece, the smallest subdivision of the other voice should not exceed a sixteenth note to respect the 2:1 ratio between voices. I also experimented with the bass at a 4:1 ratio using eighth notes in lieu of sixteenths, which is an acceptable solution.

#9. *Das ist ein Flöten und Geigen*

The ninth song of *Dichterliebe* and first song of the second half of the cycle was by far the most difficult to arrange for solo guitar due to the texture. The piano score is also one of the more technically demanding of the cycle, requiring unrelenting perpetual motion of sixteenth notes in the right hand and vertical chords hammering a waltz rhythm in the left. We know that Schumann sketched the instrumental part of this song before writing the melody,[94] which was unlike his approach to all eight of the previous songs, indicating the instrumental accompaniment was likely of even greater importance in the conception of the work. Moreover, the text of the song deals with the narrator's bitterness towards the engagement of his beloved to another, and the waltz chords performed by the piano left hand are essential to conveying this narrative – the waltz is a marriage dance.[95] The texture of this song would have been perfectly suited to two guitars, as one instrument could take the melody and the other could supply the accompanying

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[93]   Jonathan Godfrey, "Principles of Idiomatic Guitar Writing" (PhD diss., Indiana University, 2014), 46.

[94]   Rufus Hallmark, "The Sketches for 'Dichterliebe,'" *19th-Century Music* 1, no. 2 (January 1977), 112.

[95]   Finson, *Book of Songs,* 66.

chords; it is much easier to arrange piano music to two guitars, as the piano right hand and left hand can be split to into the two corresponding guitar parts. This is the approach taken by Jonathan Barlow in his arrangement of *Dichterliebe* for tenor and two guitars, one of only two published arrangements of this work for guitar.[96] My challenge when arranging the piano accompaniment for solo guitar would be to capture the essence of this matrimonial waltz while simultaneously playing its melody.

The song would have been unmanageable in the original register, and thus I decided to lower it an octave. I began the arrangement by copying the piano right-hand melody out as a solo line. I then played this line on the guitar to familiarize myself with the contour and range. Given that performing this melody at tempo required at least the index and middle finger of my right hand (and the ring finger when needed), the only available finger reliably at my disposal to perform the waltz chords of the piano left hand was the right-hand thumb. I could therefore not play chords on beats two and three of each bar because I only had one available finger, electing henceforth to perform those beats as single bass notes. I then experimented with different possible basses and basslines with respect to the harmonic progression established by Schumann (Fig. 19). Most of the variability that I encountered occurred on beats two and three, as I was successful at translating the basses on the downbeats to the guitar. The song sits in an alternating D minor/G minor configuration, and since I maintained the low D scordatura of the preceding song, many of the bass and pedal notes are comfortably performed on open strings.

One of the rules I established at the outset of this song's arrangement was that I would avoid overlapping the bass and treble voices. I did this to ensure that the waltz rhythm of the thumb and the melody of the index, middle, and ring fingers were always recognizably separate

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[96]   Robert Schumann, *Dichterliebe*, ed. Johnathan Barlow (Clear Note Publications, 2010).

entities. For example, in mm.. 287-288 (Fig. 19), I resolved the G# of beats two and three (third measure) to the lower A (fourth measure), rather than resolving it up as expected so that the important second beat of the waltz did not coincide with a treble note.

Figure 19. The basses on beats two and three boxed in green were chosen based on available fretboard notes, and with respect to Schumann's harmonic progression. For example, m. 287 beats 2-3 are missing the B and F of the piano left hand, and the G# resolves to the lower A in m. 288 to avoid overlapping with the melody.

#10. *Hör' ich das Liedchen klingen*

The texture of cross-string arpeggios was again utilized to maximize resonance between chords in the tenth song of *Dichterliebe.* In the first draft of the arrangement, I changed inner voices to allow for triadic formulas to be reoriented onto adjacent strings as I had done in *Ich will meine Seele tauchen,* which uses a similar arpeggio texture (Fig. 20). I also brought down the register an octave in the introduction to facilitate the passage. Upon the first coaching with

Ducharme, we noted that unlike the fifth song of the cycle, the slower tempo ("Langsam") of the

tenth song did not require reconfiguring the interior voices to lie on adjacent strings, as more

complicated string-crossings are possible at slower tempi. Upon experimentation in the original

register, I noticed that I could also play Schumann's original notes and maintain legato if I

attacked certain notes as natural harmonics to help connect transitions between chords rather

than only using notes on adjacent strings (Fig. 21).

Figure 20 – First draft of the arrangement is down an octave. Triadic formulas are revoiced to the first three strings of the guitar, maintaining the original soprano but changing the lower notes (mm. 331-332).
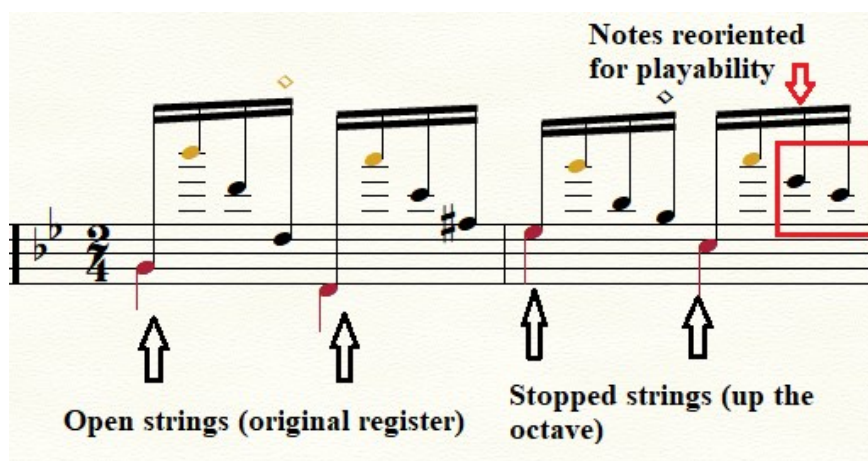
Figure 21. The second draft is closer to the composer's intentions, as the upper voice and triadic formulas are in the exact register and orientation written by Schumann with the exception of two basses and two triadic notes (boxed in red).

Another major change that I incorporated into my second draft after a lesson with Ducharme pertained to the registral jump in the piano part on the words "Mein übergrosses Weh'" (mm. 349-350) My first solution was to remain in the same octave because I deemed the registral jump overly difficult (Fig. 22). A more elegant solution was found for the second draft following experimentation with artificial harmonics, a technique that allows notes to sound an octave higher and are possible to execute in this song due to the slower tempo.

1.   First draft of arrangement.

2.   Second draft of arrangement.

Figure 22. Artificial harmonics used so that voice-leading can remain the same as Schumann's and notes can sound in the original register (artificial harmonics sound an octave higher than written). Possible to execute due to slower tempo (mm. 349-350).

#11. *Ein Jüngling liebt ein Mädchen*

The eleventh song of *Dichterliebe* was the only piece of the project that took me more than two drafts to complete. I will remind the reader here of the original idea to implement scordatura across all six strings by lowering the tuning of the guitar throughout the entire cycle by one semitone and utilizing a capo. The capo would have been on the first fret of the guitar until *Ein Jüngling liebt ein Mädchen,* at which point I would have removed it, allowing for a tuning of Eb Ab Db Gb Bb Eb. This tuning contains open strings for the tonic, subdominant, and dominant notes of Eb major. The first draft sketch of this piece employed this tuning but was later abandoned for a different solution. The second solution I explored also required scordatura,

this time with only the sixth string tuned down to Eb. The idea was to allow for an easy

intervallic leap of a fifth to the open sixth string in Eb, which is used prevalently in the piece.

  The main problems encountered when translating this piece to guitar were a combination

of voice-leading/counterpoint, range, and tuning. The large leaps in the bass line are awkward on

the guitar, requiring significant and continuous displacement of the right-hand thumb back and

forth across the bass strings. This voice-leading is simple on the piano; the pianist's left hand is

free to use all five fingers to execute the large intervallic leaps. For the guitarist however, most

of this movement is relegated to one finger (the thumb), which is moving in opposing motion to

the other four fingers of the hand. I tried to maintain these large leaps in the bass in the first two

drafts of the arrangement and maintain the intervallic relationships as close to Schumann's

original as possible using the low Eb tuning (Fig. 23).

1.   Draft one of arrangement.

2.   Draft two of the arrangement.

Figure 23. First two drafts demonstrate attempts to keep Schumann's chord voicings with use of scordatura (mm. 361-364). Draft one is tuned to Eb Ab Db Gb Bb Eb, and draft two is tuned to Eb A D G B E. Both solutions were abandoned later.

I experimented with the opening intervallic jump up the octave and made alterations to the voice-leading with the help of Ducharme before arriving at a more comfortable and elegant solution in my third and final draft. With slight changes in the voice-leading of chords, I was able to solve the problem of the thumb leaps while simultaneously fitting those chords more comfortably on the first three strings of the guitar.

Figure 24. The third draft of the arrangement is more elegantly voiced for the guitar.

#12. *Am leuchtenden Sommermorgen*

Despite the key containing two flats in the twelfth song of *Dichterliebe*, the arrangement is a very close translation of the piano part to guitar. Naturally, registers were changed when they exceeded the guitar's narrower range. The arpeggios fit well under the left-hand fingers with minimal alterations to Schumann's voicings. Only the last eight measures contain vertical chords, which were adapted to more traditional "open" guitar voicings and barre chords. The large leap across the fretboard in the first measure is manageable because of the rest separating the two descending arpeggios (Fig. 25). Barre chords are extensively utilized and idiomatic (Fig. 26). Artificial harmonics were used to make transitions between chords more effective and legato on the guitar (Fig. 27). Registers were changed to maintain fluency when open strings were not possible (Fig. 28). Finally, vertical chords were transcribed to effective guitar voicings (Fig. 29).

Figure 25. Opening measure of *Am leuchtenden Sommermorgen.* Large jump is permitted because of the 32nd note rest.

Figure 26. Example of idiomatic barre chord sequence on Bb-major arpeggio and Eb-major arpeggio in subsequent measure.
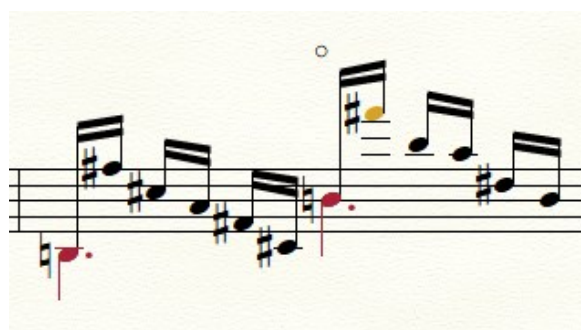
Figure 26. Natural harmonic added on B to facilitate left hand transition between low and high register.

Figure 27. The bass remains static in version for guitar, rather than moving between octaves as it does in the piano. This is because the bass notes are on F, which is a stopped or fretted note, limiting the range that the left hand can stretch.

Figure 28. Vertical chords and dyads translated in the postlude of song 12. This is an important moment in the cycle, as this postlude is later developed at the end of the final song (*Die alten, bösen Lieder*).

#13. *Ich hab' im Traum geweinet*

There were very few changes to the original score of *Dichterliebe* in the arrangement of #13. *Ich hab' im Traum geweinet.* Vertical five-note chords were reduced to fewer notes and octave doublings were removed when necessary. Although the key signature contains several accidentals and barre chords are often needed, the slower tempo and large number of rests allow for easy execution on the guitar. I experimented with the work an octave higher than written in the first draft of the arrangement, but ultimately abandoned that option because the lower, original register was possible and idiomatic.

#14. *Allnächtlich im Traume*

The fourteenth song is in the key of B major and is dominated by vertical chords. Given the prevalence of tonic (B major) and dominant (F# major) harmonies coupled with the five accidentals of the key, I decided this would be a perfect song to incorporate a capo for the first time. Rather than using barres to perform the B and F# chords, I wrote the song out in A major (one of the most idiomatic guitar keys) to optimize open-string usage on A (tonic) and E (dominant) chords. Once the song was transposed and notated into A, I experimented with the piece to find ideal chord-voicings and left- and right-hand fingerings. I added the capo to the second fret, which changes the tuning of the guitar by a whole tone to F# B E A C# F#. Now that open strings are favourably in B major, I performed the piece as practiced in A major but two frets higher. The capo on the second fret grants F# and B bass notes as open strings, allowing low dominant and tonic notes to be executed with ease by the thumb (Fig. 29).

1.   The published edition of my arrangement will use this "notated pitch," with an indication at the beginning of the first measure to add the capo to the second fret.
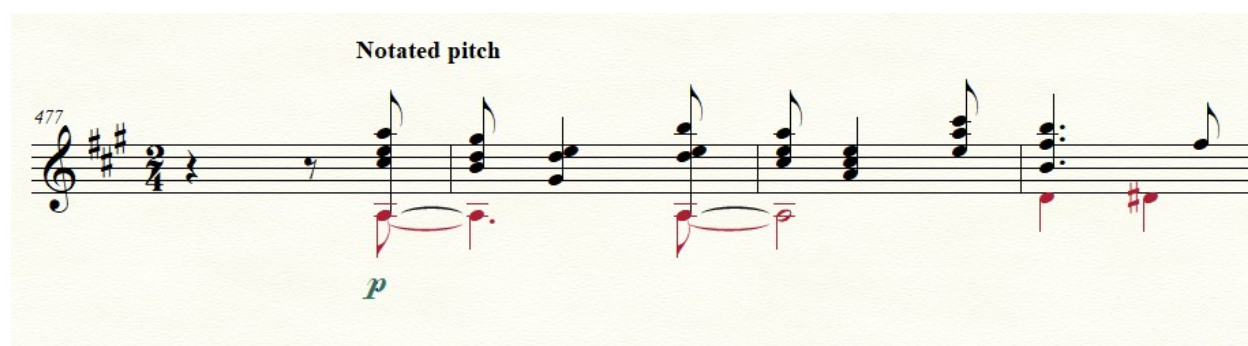
2.   The actual notes that will sound on the guitar. The guitarist will learn the piece as if in A-major, but two frets higher and with the capo added to the second fret (mm. 477-480).
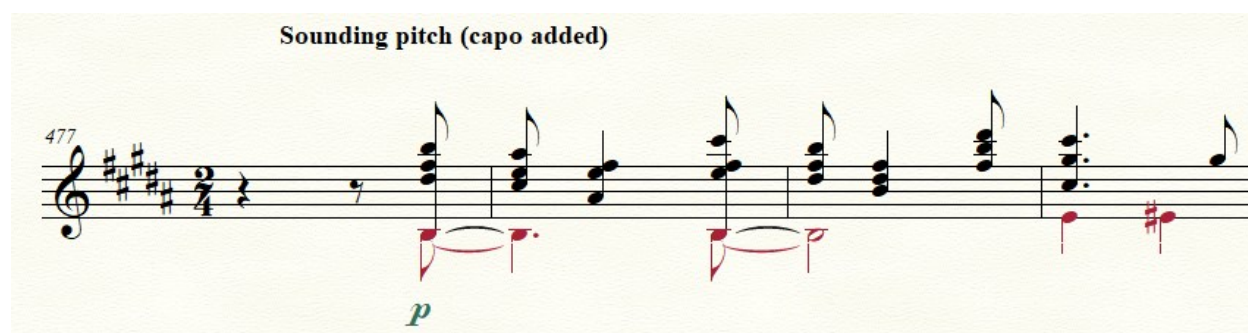
Figure 29. Notated vs. sounding pitches when capo is applied to the guitar.

#15. *Aus alten Märchen*

The penultimate song of *Dichterliebe* sits in the guitar-friendly key of E-major and thus

the capo is removed after the completion of #14. *Allnächtlich im Traume*. The song opens with

triads that are doubled at the octave, a texture of six- and seven-note chords that are technically

impossible on the guitar (Fig. 30). Because the lower triads begin with a pedal on the low E bass,

I simply removed the upper notes of the left-hand triadic formulas and kept the open E-string as

a pedal. As the chord progression develops, the bass notes remain the same as Schumann's.
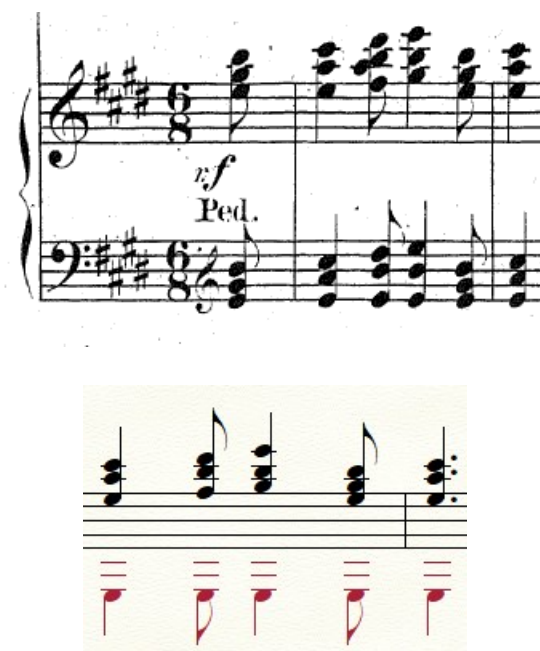
Figure 30. Maintained same voice-leading as piano right-hand in the guitar arrangement, replaced left-hand (piano) with single basses (guitar) (m. 517).

Schumann uses parallel dyads in the following phrase, and though many of these are technically possible on the guitar, I felt that they required awkward and unidiomatic left-hand fingerings. I tried performing the dyads with a single bass doubling one of the dyadic notes but found the resulting sonority unsatisfactory and thus removed it (Fig. 31). My first attempt to transcribe the instrumental part of the second stanza (mm. 532-540) *"Wo bunte Blumen blühen, Im gold'nen Abendlicht, Und lieblich duftend glühen, Mit bräutlichem Gesicht"* required playing with the register of the upper voice. I tried it at first in the original register but brought it down the octave, removing certain B pedals from the piano left-hand and focusing on the upper dyads. I used this strategy because it could be modulated with the exact same fingering when the figure returns for the fifth stanza on the words "Und blaue Funken brennen, An jedem Blatt und Reis, Und rote Lichter rennen, Im irren, wirren Kreis," this time in F# in lieu of B (Fig. 32).
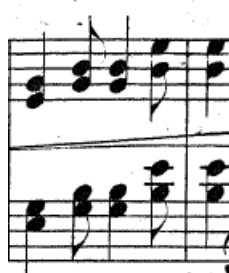
1.   First draft of arrangement.

2.   Second draft of arrangement.

Figure 31. Basses removed from m. 529 of the cycle.

1. First draft of arrangement (stanza 2).
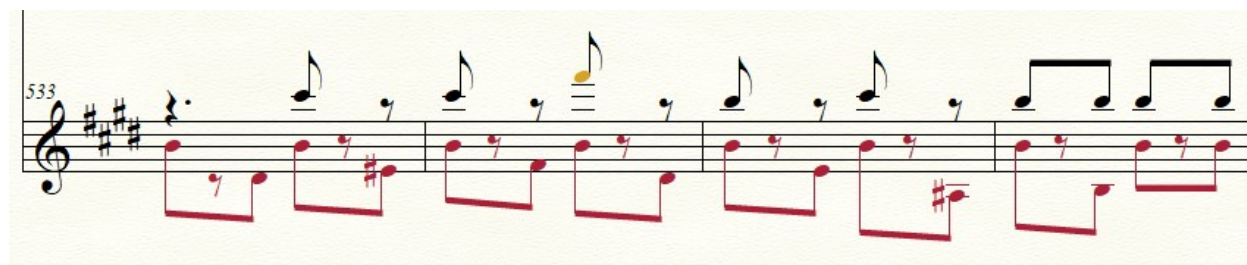
2. Second draft of arrangement (stanza 2).
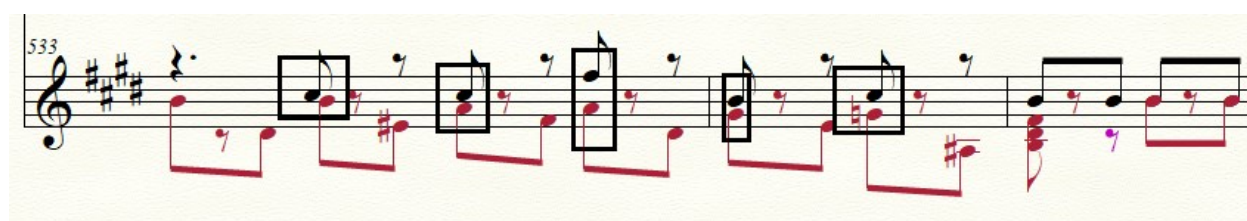
3. First draft of arrangement (stanza 5).
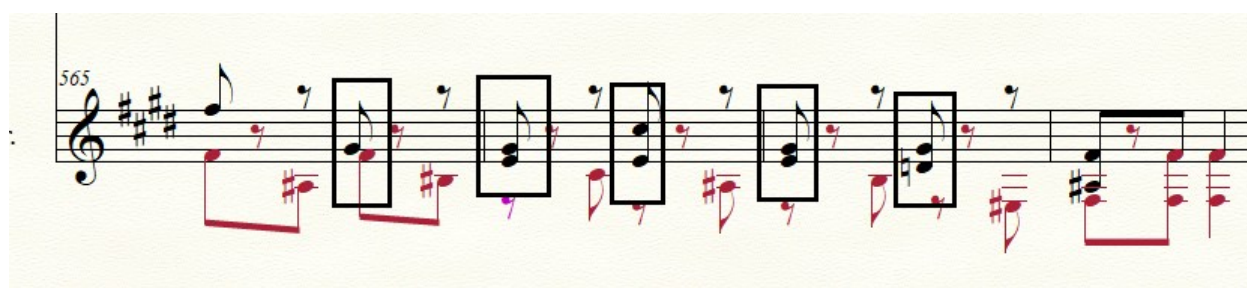

4. Second draft of arrangement (stanza 5).

Figure 32. The chords in boxes from B) and D) are sequences of the same left-hand fingering on the guitar because they are played on closed strings (mm. 565-569).

When the piano theme returns in G-major, the upper triads could no longer be played as written in the piano part (see in Fig. 30) because the pedaled bass is now on a closed rather than open string. Triadic formulas were determined based on the possibilities of the left-fretting hand, which needs to remain in the low position to hold down the low G (Fig. 33).

Figure 33. Unlike in Fig. 30, the upper triads had to be altered because a left-hand finger is required to hold down the low G bass (m. 541).

The final change to the piano score that was explored pertained to the insistent hammering of dense piano chords on a single harmony whilst a bassline arpeggio outlined a triad. This occurs in the stanza on the words, "Und laute Quellen brechen, Aus wildem Marmorstein, Und seltsam in den Bächen strahlt fort der Wiederschein," (mm. 573-583). This passage modulates twice and I wanted to find a guitar fingering that could be transposed in parallel from one modulation to the next. This is a clear example of dense piano writing that needs to be reduced for playability on the guitar. To achieve the latter, I first tried strumming full

six note barre chords in alternation with a melody doubled at the octave. However, I felt that the

insistent nature of the piano chords was missing, and I couldn't maintain the same left-hand

fingering from one modulation to the next. To remedy this, I reduced most of the six-note chords

to an "open" voicing of one bass and three treble notes, and with a little maneuvering of the left

hand, was able to play the figure with the same left-hand fingering in both sequenced

modulations.

Figure 34. Example of piano texture, demonstrating modulation from G#7 to A#7

1.   First draft of arrangement.
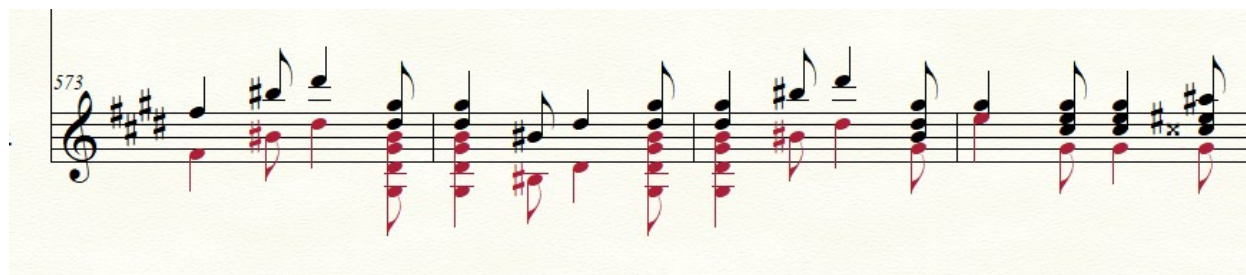
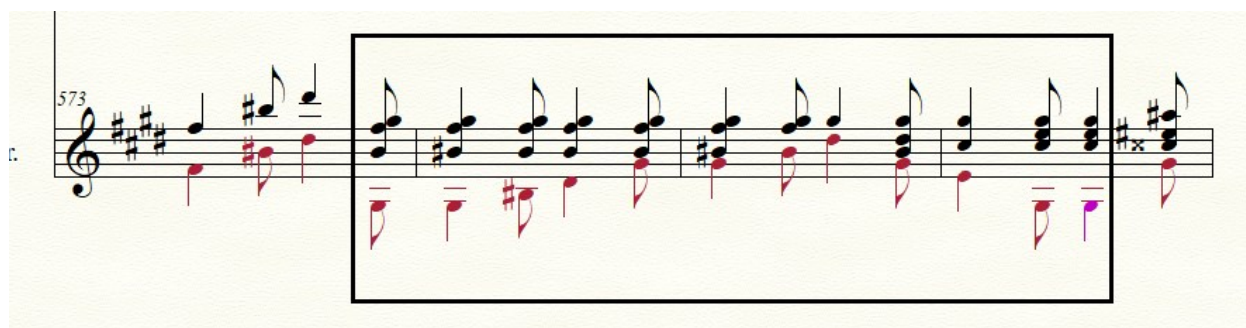2.   First draft of arrangement (stanza 2).

Figure 35. Comparison between two drafts of the arrangement. A) My first draft shows an attempt to alternate full six note chords with the melody. B) More elegant solution that maintains the chordal repetitions of the piano right hand while the arpeggio moves beneath. This solution is transposable up a whole tone when needed due to the absence of open strings (mm. 573-576).

#16. *Die alten, bösen Lieder*

The final song of *Dichterliebe* was the only other song besides #14. *Allnächtlich im Traume* in the cycle that required a capo for improved guitar playability and reading. The key of C# minor is not difficult to execute on the guitar, but given the amount of counterpoint and modulations required I elected to use the capo so that bass notes could be played as open strings. I chose A minor as the key of transposition, notating the entire work down a major third. The capo is placed on the fourth fret, raising the tuning by four semitones. The piece uses many tonic

and dominant bass notes, so the G# and C# afforded by the sixth- and fifth string tuning (raised by four semitones from the open E and A strings with the capo) are helpful in placing important harmonic tones under the thumb. As in #15. *Aus alten Märchen,* dense vertical chords of more than four notes were replaced by "open" guitar chords featuring single bass thumb notes and three-note treble chords.
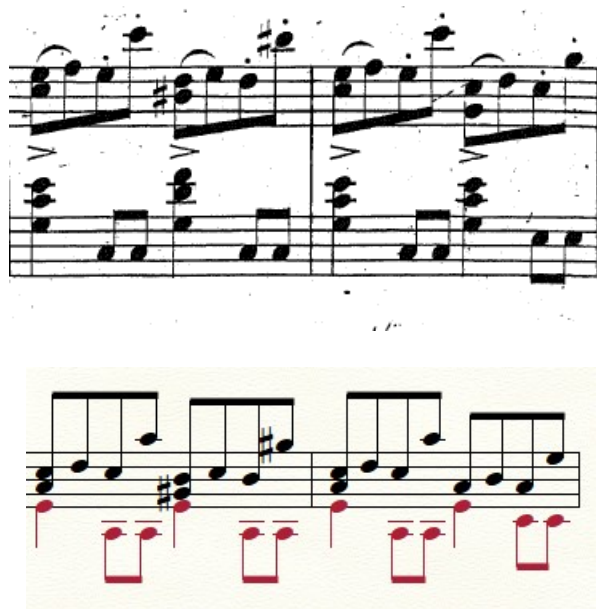

Figure 36. The piano part is transposed from C# minor into A minor to allow for open-strings of the guitar in standard tuning, facilitating the transcription. The notated score would sound four semitones higher with the capo on the fourth fret (mm. 633-634).

Every effort was made to keep voice-leading in the basslines consistent from phrase to phrase, even when moving into less comfortable key areas. The piano from Fig. 37 shows a left-hand passage that is separated by an octave from the right hand, and then doubled an octave lower. This exact passage is sequenced twice in the piano part, up a tone each time. With a capo, the difficult passagework is brought even higher up on the guitar fretboard. I kept the part low on the guitar by dropping the higher register an octave.

Figure 37. Two examples of a piano texture that must be adapted to be idiomatic on the guitar. The passage is repeated twice in a sequence, ascending a whole tone higher each time.

1.   First sequential passage (mm. 645-646).
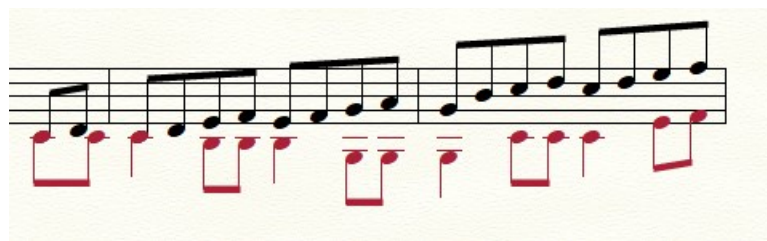
2.   Modulation of above passage in C-major up a tone, but into a minor key.
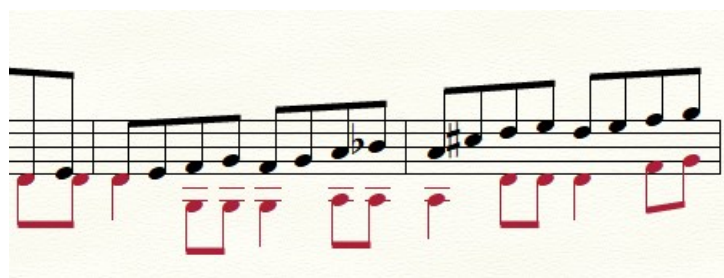

Figure 38. Distance between bass and treble adapted to the guitar, and lower octave doubling removed (mm. 653-654).

Conclusion

In the process of articulating my tacit guitar knowledge in a way that could be shared with others, certain key elements and concepts regarding the translation from piano to guitar surfaced repeatedly. Tuning was perhaps the foremost issue as my primary goal was to perform all sixteen songs consecutively in the original keys. Luckily, the first thirteen could be played without the need for any significant scordatura (other than the "Drop-D" tuning), and the capo was only needed in songs 14 and 16. Register or tessitura was another major concern, as the range of the guitar is much less than that of the piano. I endeavoured to maintain the original registers of each song as much as possible, but most songs required at least some register changes and often multiple register changes were needed. Vertical chords were appropriately revoiced to the guitar utilizing "open" voicings that separated the bass voice (guitar right-hand thumb) by an octave or more from the trebles (guitar right-hand index, middle, and ring fingers). These upper voices were easiest to execute when performed on adjacent strings, though I did not need to adhere to this rule at slower tempi. Knowing that Schumann was a student of Bach's counterpoint, the utmost care was taken when translating multi-voice and contrapuntal textures to the guitar to ensure that the arrangement would respect Schumann's intentions within the confines of fretboard geography.

I developed a unique methodology for this project within the purview of artistic research to articulate my embodied knowledge of the guitar in this dissertation. By documenting the process with a practice diary, I uncovered interesting insights specific to transcribing from the piano to the guitar. The act of sitting and writing down my thoughts in a journal forced me to reflect on the decisions I had made, and this constant shift of insider/outsider perspective led me down new paths of inquiry. This hermeneutical spiral has helped me arrive at a more nuanced

relationship with the art of transcription and has crystallized my thoughts on the subject in a more organized way.

Two chapters of this document were dedicated to a literature review, situating this project within its broader historical context. Topics explored ranged from the foundational role of Herder and the nationalistic enterprise of German folk song, 19th century Viennese salon culture, the song cycle, and the innovations of Schumann reflected in the text/music relationships of *Dichterliebe.* These readings were discussed in congruence with the concept of "epistemic complexity," as they examine historical parameters (time period, culture, etc.) and represent portions of knowledge that are embedded in an artefact.

With regards to performing and interpreting the work, reducing the text to its syllabic content allowed me to make decisions about the phrasing on the guitar. Studying the punctuation of the stanzas helped me to pinpoint moments where I needed to "breathe" musically with the singer. Examining the translations of the text to uncover the mood or "affect" Schumann desired permitted me to choose appropriate articulations (short vs. long notes, accented notes, etc.) and to refine my dynamics.

I was successfully able to engrave the entire guitar part in Finale within the timeline set forth in my doctoral degree. At the time of writing this paper, I have completed the full first draft of engraving the guitar score. The next step will include adding fingerings and technical considerations into the score before submitting it for publication with *les Productions d'Oz* in 2023, where it will be edited professionally and disseminated internationally.

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